

# Employee Handbook

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**Concordia University Chicago**

*January 15, 2016*



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## Employee Acknowledgment

I hereby acknowledge that I have received a copy of the Concordia University Chicago Employee Handbook (the “Handbook”), consisting of the General Employee, Staff and Faculty Sections.

I understand that it is my responsibility to read the relevant Handbook provisions and adhere to the policies and procedures described within those sections or provisions relating to my own employment status. I understand that the new, consolidated Handbook replaces all prior employee and faculty handbooks, policies, and procedures of Concordia University Chicago (the “University”). The General Employee Section of the Handbook applies to all employees of CUC, except those terms and conditions of employment that are established by a written employment agreement. The Staff Section applies to those employees who have an at-will status or work without a written agreement. The Faculty Section applies to all employees granted faculty status by the Board of Regents and/or the Senior Vice President of Academics.

***I have read and understand the University’s anti-discrimination, anti-harassment, and anti-retaliation policies, agree to comply with these policies, and understand the mechanisms in place for reporting incidents of discrimination, harassment, or retaliation.*** I understand that the University does not tolerate discrimination, harassment, or retaliation of any kind. I understand that, if I am found responsible for violating these or other policies, I may be subject to discipline up to and including termination of employment.

I have also read and agree to abide by all of the other policies in this Handbook, including but not limited to the University’s drug and alcohol policies, policies regarding confidentiality and the protection of University and student information, and policy regarding mandatory reporting of child abuse.

I understand that the University reserves the right to change, modify, revoke, suspend, or terminate any of its policies or procedures, including the Handbook provisions, at any time. Any such changes will be communicated to employees. Occasions may arise when it is not practical, possible or in the best interest of the University to apply these general policy guidelines and procedures. In such circumstances, the University reserves the right to modify policies and procedures, at its sole discretion, as it deems necessary and appropriate.

I understand that this Handbook and the language used in the Handbook are not intended to constitute or create a contract between the University and any of its employees. Nothing in the Handbook in itself creates any right to continuing employment or places any restrictions on the ability of the University to terminate my employment. The University executes formal employment agreements with certain faculty and staff members; my contractual rights are limited to those set forth in my signed employment agreement, if any, with the University.

If I have any questions concerning the information, application or interpretation of the policies or procedures in this Handbook, I will bring them to the attention of the Human Resources Department.

\_\_\_\_\_  
Employee Name (Printed)

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

Faculty ☐ Staff ☐

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## CONTENTS

<b>1</b>	<b>GENERAL EMPLOYMENT HANDBOOK SECTION:</b>	<b>17</b>
<b>1.1</b>	<b>Governance and Values</b>	<b>17</b>
1.1.1	Introduction to the Handbook	17
1.1.2	University Mission, Vision and Core Values	17
1.1.2.1	Mission	17
1.1.2.2	Vision	17
1.1.2.3	Core Values	17
1.1.3	Standards and Ethics	18
1.1.4	University Governance	19
1.1.5	History	19
<b>1.2</b>	<b>Compliance</b>	<b>20</b>
1.2.1	ANTI-DISCRIMINATION AND ANTI-HARASSMENT POLICY	20
1.2.2	No Retaliation	21
1.2.3	Sexual Harassment	21
1.2.4	Sexual Assault and Sexual Violence	22
1.2.5	Consent	23
1.2.6	Domestic Violence	23
1.2.7	Dating Violence	23
1.2.8	Stalking	23
1.2.9	Sexual Exploitation	23
1.2.10	Retaliation	24
1.2.11	Title IX	25
1.2.12	Title IX Coordinators	25
1.2.13	Accommodating Individuals with Disabilities (ADA)	26
1.2.14	Protected Health Information	26
1.2.15	Fundraising	26
1.2.16	Bank Accounts and University Commitments	26
1.2.17	Purchase of Services, Supplies, and Equipment	26
1.2.18	Use of Vehicles for University Activities	27
1.2.19	Personal Relationships	28
1.2.19.1	Supervisor/Subordinate Relationships	28
1.2.19.2	Family Relationships	28
1.2.19.3	Faculty-Employee/Student Relationships	29
1.2.20	Confidential Information – Student Privacy and the Federal Educational Rights Privacy Act (FERPA)	29
1.2.21	Other Confidential Information	30
1.2.22	Mandatory Child Abuse Incident Reporting	30
1.2.23	Attire and Appearance	30
1.2.24	Conflict of Interest	31
1.2.25	Other Income	31
1.2.26	Use of Copyrighted Materials and Intellectual Property Belonging to Others	31
1.2.27	Media Inquiries	31
1.2.28	Whistleblower Policy	32
1.2.28.1	General Code of Ethics and Conduct	32
1.2.28.2	Reporting Responsibility	32
1.2.28.3	No Retaliation	32
1.2.28.4	Reporting Violations	32
1.2.28.5	Compliance Officer	32

1.2.28.6	Accounting and Auditing Matters .....	33
1.2.28.7	Acting in Good Faith.....	33
1.2.28.8	Confidentiality .....	33
1.2.28.9	Handling of Reported Violations .....	33
<b>1.3</b>	<b>Employment and Payroll Information.....</b>	<b>33</b>
1.3.1	Equal Employment Opportunity .....	33
1.3.2	Employment Eligibility – Immigration Law Compliance.....	34
1.3.3	Employment Classifications .....	34
1.3.3.1	Exempt Employee .....	34
1.3.3.2	Non-Exempt Employee.....	35
1.3.3.3	Regular Full-Time Employee.....	35
1.3.3.4	Part-Time Employee .....	35
1.3.3.5	Temporary Employee.....	35
1.3.4	Compensation and Reporting Errors.....	35
1.3.5	Pay Period.....	36
1.3.6	Payroll Deductions and Reductions .....	36
1.3.7	Non-Minister of the Gospel Employees.....	36
1.3.8	Minister of the Gospel Employees.....	37
1.3.9	Rehire of a Former University Employee .....	37
1.3.10	Change of Personal Information.....	37
1.3.11	Employee Records.....	37
1.3.12	Employment of Relatives .....	38
1.3.13	Background Checks.....	38
1.3.14	Charitable Contributions .....	38
1.3.15	Garnishments.....	38
1.3.16	Moving Expenses .....	39
1.3.17	Chapel Attendance .....	39
1.3.18	Children in the Workplace.....	39
1.3.19	Separation from the University .....	40
1.3.19.1	Employment at Will.....	40
1.3.19.2	Voluntary – Resignation .....	40
1.3.19.3	Voluntary – Retirement .....	40
1.3.20	Exit Procedures.....	40
1.3.21	Employment References and Requests for Information .....	40
1.3.22	Grievance Policy and Procedure.....	40
<b>1.4</b>	<b>Benefits.....</b>	<b>41</b>
1.4.1	Concordia Plan Services .....	41
1.4.1.1	Concordia Health Plan .....	41
1.4.1.2	Concordia Disability and Survivor Plan.....	41
1.4.1.3	Taxation of Concordia Disability and Survivor Plan .....	41
1.4.1.4	Concordia Retirement Plan – Defined Benefit Plan.....	42
1.4.1.4`	Concordia RETIREMENT Plan -- 403(b) – Defined Contribution Plan .....	42
1.4.1.6	Accident Insurance.....	42
1.4.1.7	Employee Assistance Program – Counseling Services .....	42
1.4.1.8	Flexible Spending Account.....	42
1.4.1.9	Health Savings Account.....	43
1.4.1.10	Wellness Plan.....	43
1.4.2	Child Care Services .....	43
1.4.3	Tuition Benefits .....	43
1.4.3.1	Concordia University Chicago Tuition Reduction .....	43
1.4.3.2	Schedule of Levels for Tuition Benefits .....	44

1.4.3.3	Tuition Reimbursement at Other Accredited Institutions .....	46
1.4.3.4	Dominican University Enrollment .....	46
1.4.3.5	LCMS Colleges and Universities Tuition Exchange Program .....	47
1.4.4	Unemployment Insurance .....	47
1.4.5	Workers' Compensation .....	47
1.4.6	Work-Related Absences from the University .....	47
<b>1.5</b>	<b>Time Off.....</b>	<b>47</b>
1.5.1	Holidays .....	47
1.5.2	Leaves of Absence .....	48
1.5.2.1	Family and Medical Leave Act (FMLA) .....	48
1.5.2.2	Victims' Economic Security and Safety Act (VESSA) .....	49
1.5.2.3	Voting Leave.....	49
1.5.2.4	Jury Duty .....	49
1.5.2.5	Bereavement Leave.....	50
1.5.2.6	Military Leave .....	50
1.5.2.7	Nursing Mothers .....	50
1.5.2.8	School Visits .....	50
1.5.2.9	Witness Leave .....	50
1.5.2.10	Personal Leave .....	50
<b>1.6</b>	<b>Information Technology .....</b>	<b>51</b>
1.6.1	Information Technology and Electronic Communications .....	51
1.6.2	Personal Use .....	51
1.6.3	Personal Equipment on Campus .....	51
1.6.4	Copyright and Lawful Use .....	51
1.6.5	Privacy and Intellectual Property .....	51
1.6.6	Social Media Policy .....	52
<b>1.7</b>	<b>Safety and Emergency Information .....</b>	<b>54</b>
1.7.1	Annual Security Report .....	54
1.7.2	Drug-Free Workplace .....	55
1.7.3	Workplace Violence .....	56
1.7.4	Unscheduled Closings.....	56
1.7.4.1	Cancellation of Classes .....	57
1.7.4.2	Timing of Notification .....	58
1.7.4.2.1	Role of Budget Control Officers.....	58
1.7.4.2.2	Environmental Conditions .....	58
1.7.5	Emergency Procedures .....	59
1.7.5.1	Accident or Injury .....	59
1.7.5.2	Emergency Guide.....	59
1.7.6	Campus Smoke-Free Policy.....	59
1.7.7	Alcohol Policy .....	59
1.7.8	Blood-borne Pathogens.....	59
1.7.9	Employee Right-to-Know Laws: Hazardous Materials .....	60
1.7.10	Security Escort .....	60
<b>2</b>	<b>STAFF HANDBOOK SECTION.....</b>	<b>62</b>
<b>2.1</b>	<b>Employment Outside Concordia University Chicago.....</b>	<b>62</b>
<b>2.2</b>	<b>Timesheets .....</b>	<b>62</b>
<b>2.3</b>	<b>Overtime .....</b>	<b>62</b>

<b>2.4</b>	<b>Performance Management .....</b>	<b>62</b>
2.4.1	Initial Review Period .....	62
2.4.2	Annual Evaluations .....	63
2.4.3	Disciplinary Actions .....	63
<b>2.5.</b>	<b>Attendance and Absences.....</b>	<b>63</b>
<b>2.6</b>	<b>Benefit Time .....</b>	<b>64</b>
<b>2.7</b>	<b>Job Opportunities, Transfers and Promotions.....</b>	<b>66</b>
<b>2.8</b>	<b>Employee Service on University Committees .....</b>	<b>67</b>
<b>2.9</b>	<b>Staff Council .....</b>	<b>67</b>
<b>2.10</b>	<b>Separation from the University .....</b>	<b>67</b>
2.10.1	Employment at Will .....	67
2.10.2	Voluntary – Resignation .....	67
2.10.3	Voluntary – Retirement .....	67
2.10.4	Involuntary – Release .....	68
<b>3</b>	<b>Faculty Policy Handbook.....</b>	<b>69</b>
<b>3.0</b>	<b>Official University Faculty Handbook Disclaimer.....</b>	<b>69</b>
	Introduction:.....	69
	Special Note:.....	69
3.0.3	PREFACE.....	70
3.0.4	Acknowledgement .....	70
3.0.5	Role and Status of Faculty Handbook.....	70
<b>3.1</b>	<b>Introduction and Disclaimer .....</b>	<b>70</b>
3.1.1	Introduction.....	70
3.1.2	History .....	71
3.1.3	Mission Statement .....	71
3.1.3.1	Mission.....	71
3.1.3.2	Vision.....	71
3.1.3.3	Core Values.....	72
<b>3.1.4</b>	<b>STRATEGIC PLANNING .....</b>	<b>72</b>
3.1.4.1	Strategic Planning Process .....	72
3.1.4.2	Strategic Planning Structure.....	72
3.1.4.3	Strategic Plan Synopsis .....	72
3.1.4.4	CRITICAL TARGETS.....	73
3.1.4.4.1	Academics.....	73
3.1.4.4.2	Advancement .....	73
3.1.4.4.3	Student Success.....	73
3.1.4.4.4	Finance.....	73
3.1.4.4.5	Innovation .....	73
3.1.4.4.6	Critical Targets as Guideposts .....	73
3.1.5	Disclaimer.....	73
3.1.6	Hierarchy of Sources .....	74
<b>3.2</b>	<b>Administrative Organization .....</b>	<b>74</b>
3.2.1	Concordia University System Corporation .....	74
3.2.1.1	Concordia University System .....	74
3.2.2	Functions of the Board of Regents.....	77



3.2.3	Board of Regents' Governance of Academic Affairs .....	79
3.2.4	Functions of the President of the Institution .....	80
3.2.4.1	President's Cabinet .....	81
3.2.4.2	Presidential Communications with the Institution .....	81
3.2.5	Administrative Offices.....	82
3.2.6	The Senior Vice President for Academics .....	84
3.2.6.1	Selection of the Senior Vice President for Academics.....	84
3.2.6.2	Responsibilities of the Senior Vice President for Academics .....	84
3.2.6.3	Annual Evaluation of the Senior Vice President for Academics.....	85
3.2.6.4	Associate Vice President for Academics .....	85
3.2.6.5	Academic Cabinet .....	86
3.2.7	Colleges of the University .....	86
3.2.7.1	Colleges .....	87
3.2.7.2	Graduate Faculty .....	87
3.2.8	College Deans .....	87
3.2.8.1	Selection of College Deans .....	87
3.2.8.2	Responsibilities of the College Deans.....	88
3.2.8.2.1	Dean, College of Arts and Sciences.....	88
3.2.8.2.2	Dean, College of Business .....	89
3.2.8.2.3	Dean, College of Education .....	90
3.2.8.2.4	Dean, College of Graduate and Innovative Programs .....	91
3.2.8.2.5	Associate/Assistant Dean, College of Arts and Sciences.....	92
3.2.8.2.6	Associate Dean, College of Business.....	92
3.2.8.2.7	Associate/Assistant Dean, College of Education .....	93
3.2.8.2.8	Associate and Assistant Deans. College of Graduate and Innovative Studies .....	93
3.2.8.2.8.1	Associate Dean, College of Graduate and Innovative Studies.....	93
3.2.8.2.8.2	Assistant Dean, College of Graduate and Innovative Programs .....	94
3.2.8.3	Annual Evaluation of the College Deans .....	95
3.2.9	Departments of the Colleges.....	95
3.2.9.1	Departments of the Colleges .....	95
3.2.9.2	Department Membership.....	96
3.2.9.3	Establishment and Termination of Departments .....	96
3.2.9.4	Role and Function of Departments.....	97
3.2.9.5	SELECTION OF NEW DEPARTMENT CHAIRS .....	97
3.2.9.6	Responsibilities of the Department Chairs .....	97
3.2.9.7	Reappointment Evaluation of the Department Chairs .....	98
3.2.9.8	Filling a Faculty Position .....	98
3.2.9.9	Installation of Rostered Faculty .....	100
<b>3.3.</b>	<b>The University Faculty .....</b>	<b>100</b>
3.3.1	Institutional Educational Policies .....	100
3.3.2	Faculty Organization and Meetings .....	101
3.3.3	University Faculty Meetings.....	101
3.3.3.1	University Faculty Secretary .....	102
3.3.3.2	Faculty, Committees, Councils, and Task Force Meeting Protocols and Procedures .....	102
3.3.4	Committees and Councils of the University Faculty .....	103
3.3.4.1	Definitions.....	103
3.3.4.2	Eligibility and Membership Limitations on Committees and Councils .....	104
3.3.4.3	General Regulations for Committees .....	105
3.3.4.4	Balloting.....	105
3.3.4.5	Elections Officer .....	106
3.3.5	Academic Policies Committees .....	106

3.3.5.1	Demur Policy .....	107
3.3.6	Faculty Senate.....	107
3.3.6.1	Function .....	107
3.3.6.2	Meetings.....	109
3.3.6.3	Membership .....	109
3.3.6.4	Term of Office .....	109
3.3.6.5	Method of Selection.....	109
3.3.7	College Policies Committees .....	109
3.3.7.1	Arts and Sciences Policies Committee (ASPC) .....	109
3.3.7.1.1	Function .....	109
3.3.7.1.2	Membership .....	110
3.3.7.1.3	Term of Office .....	110
3.3.7.1.4	Term Limits .....	110
3.3.7.1.5	Method of election .....	110
3.3.7.1.6	Voters.....	110
3.3.7.1.7	Not eligible for election .....	110
3.3.7.2	Business Policies Committee (BPC) .....	110
3.3.7.2.1	Function .....	110
3.3.7.2.2	Membership .....	110
3.3.7.2.3	Term of Office .....	111
3.3.7.2.4	Term Limits .....	111
3.3.7.2.5	Method of election .....	111
3.3.7.2.6	Voters.....	111
3.3.7.2.7	Not eligible for election .....	111
3.3.7.3	Education Policies Committee (EPC) .....	111
3.3.7.3.1	Function .....	111
3.3.7.3.2	Membership .....	111
3.3.7.3.3	Term of Office .....	111
3.3.7.3.4	Term Limits .....	112
3.3.7.3.5	Method of election .....	112
3.3.7.3.6	Voters.....	112
3.3.7.3.7	Not eligible for election .....	112
3.3.7.4	Graduate & Innovative Programs Policies Committee (GIPPC).....	112
3.3.7.4.1	Function .....	112
3.3.7.4.2	Membership .....	112
3.3.7.4.3	Term of Office .....	113
3.3.7.4.4	Term Limits .....	113
3.3.7.4.5	Method of election .....	113
3.3.7.4.6	Voters.....	113
3.3.7.4.7	Not eligible for election .....	113
3.3.7.5	Student Life Policies Committee (SLPC) .....	113
3.3.7.5.1	Function .....	113
3.3.7.5.2	Membership .....	113
3.3.7.5.3	Term of Office .....	113
3.3.7.5.4	Term limits.....	114
3.3.7.5.5	Method of election .....	114
3.3.7.5.6	Voters.....	114
3.3.7.5.7	Not eligible for election .....	114
3.3.7.6	Professional Education Policies Committee (PEPC) .....	114
3.3.7.6.1	Function .....	114
3.3.7.6.2	Membership .....	114
3.3.7.6.3	Terms of Office.....	114

3.3.7.6.4	Term Limits .....	114
3.3.7.6.5	Method of Election .....	115
3.3.7.6.6	Voters.....	115
3.3.7.6.7	Not eligible for election .....	115
3.3.7.6.8	Meeting Protocols .....	115
3.3.8	Other Faculty Committees and Councils .....	115
3.3.8.1	Faculty Growth and Development Council.....	115
3.3.8.1.1	Function: .....	115
3.3.8.1.2	Membership .....	115
3.3.8.1.3	Term of Office .....	116
3.3.8.1.4	Term Limits .....	116
3.3.8.1.5	Method of election .....	116
3.3.8.1.6	Voters.....	116
3.3.8.1.7	Not eligible for election .....	116
3.3.8.2	Faculty Welfare Task Force .....	116
3.3.8.2.1	Function .....	116
3.3.8.2.2	Membership .....	116
3.3.8.2.3	Term Limits .....	117
3.3.8.2.4	Not eligible for selection.....	117
3.3.8.2.5	Terms of Office.....	117
3.3.8.2.6	Method of Election .....	117
3.3.8.3	Faculty Advisory Representative to Synodical Conventions .....	117
3.3.8.3.1	Function .....	117
3.3.8.3.2	Membership .....	117
3.3.8.3.3	Term of Office .....	118
3.3.8.3.4	Term Limits .....	118
3.3.8.3.5	Method of election .....	118
3.3.8.3.6	Voters.....	118
3.3.8.3.7	Not eligible for election .....	118
3.3.8.4	Distinguished Awards Committee .....	118
3.3.8.4.1	Function .....	118
3.3.8.4.2	Membership .....	118
3.3.8.4.3	Term of Office .....	118
3.3.8.4.4	Term limits.....	119
3.3.8.4.5	Method of election .....	119
3.3.8.4.6	Voters.....	119
3.3.8.4.7	Not eligible for election .....	119
3.3.8.5	Awarding of Honorary Awards and Degrees .....	119
3.3.8.6	Strategic Planning Council (SPC) .....	120
3.3.8.6.1	Function .....	120
3.3.8.6.2	Membership .....	120
3.3.8.6.3	Term Limit.....	120
3.3.8.6.4	Method of Selection.....	120
3.3.8.6.5	Not eligible for election .....	121
3.3.8.7	Synodical Placement Approval Committee .....	121
3.3.8.7.1	Function .....	121
3.3.8.7.2	Membership .....	121
3.3.8.7.3	Term of Office .....	121
3.3.8.7.4	Term Limits .....	121
3.3.8.7.5	Method of election .....	121
3.3.8.7.6	Voters.....	121
3.3.8.7.7	Not eligible for election .....	121

3.3.8.8	Teaching, Learning, Technology Council (TLTC)	122
3.3.8.8.1	Function	122
3.3.8.8.2	Membership	122
3.3.8.8.3	Term of Office	122
3.3.8.8.4	Term Limits	122
3.3.8.8.5	Method of election	122
3.3.8.8.6	Voters	122
3.3.8.8.7	Not eligible for election	123
3.3.8.9	Traffic and Parking Appeals Tribunal	123
3.3.8.9.1	Function	123
3.3.8.9.2	Membership	123
3.3.8.9.3	Term of Office	123
3.3.8.9.4	Term Limits	123
3.3.8.9.5	Method of election	123
3.3.8.9.6	Voters	123
3.3.8.9.7	Not eligible for election	123
3.3.8.10	Teacher Colloquy Examination Task Force	124
3.3.8.10.1	Function	124
3.3.8.10.2	Membership	124
3.3.8.10.3	Term of Office	124
3.3.8.11	Deaconess Colloquy Examination Joint Council	124
3.3.8.11.1	Function	124
3.3.8.11.2	Membership	124
3.3.8.11.3	Term of Office	124
3.3.8.11.4	Term Limits	125
3.3.8.11.5	Method of election	125
3.3.8.11.6	Voters	125
3.3.8.11.7	Not eligible for election	125
3.3.8.12	Committee for the Institute for Church Professionals	125
3.3.8.12.1	Function	125
3.3.8.12.2	Membership	125
3.3.8.12.3	Term of Office	125
3.3.8.12.4	Term Limits	125
3.3.8.12.5	Method of election	125
3.3.8.12.6	Voters	125
3.3.8.12.7	Not eligible for election	125
3.3.9	Lutheran Education Staff	126
3.3.9.1	Function	126
3.3.9.2	Membership	126
3.3.9.3	Term of Office	126
3.3.9.4	Method of Selection	126
3.3.10	Academic Accreditation	126
3.3.10.1	Higher Learning Commission (HLC)	126
3.3.10.1.1	North Central Association of Colleges and Schools (NCA)	127
3.3.10.1.2	Academic Quality Improvement Program (AQIP)	127
3.3.10.2	Council for the Accreditation of Educator Preparation (CAEP)	127
3.3.10.3	Council for Accreditation of Counseling and Related Educational Programs (CACREP)	127
3.3.10.4	National Association of Schools of Music (NASM)	127
<b>3.4.</b>	<b>Faculty Employment</b>	<b>127</b>
3.4.1	Membership of the University Faculty	127
3.4.1.1	Full-time Tenure Track Faculty	128

3.4.1.2	Ambassador Faculty.....	128
3.4.1.3	Visiting Faculty.....	128
3.4.1.4	Full-time Faculty, non-tenure track.....	128
3.4.1.5	Adjunct Faculty.....	128
3.4.1.6	Faculty Emeriti.....	129
3.4.2	Appointments of the Members of the Faculty .....	129
3.4.3	Faculty Orientation .....	131
3.4.4	Performance Reviews .....	131
3.4.5	Promotion of Faculty to Continuing Appointment Status.....	132
3.4.5.1	Review of Faculty for Reappointment, Advancement, or Tenure.....	133
3.4.5.2	College of Arts and Sciences Peer Review Council.....	133
3.4.5.3	College of Business Peer Review Council .....	134
3.4.5.4	College of Education Peer Review Council .....	135
3.4.5.5	College of Graduate & Innovative Programs Peer Review Council .....	135
3.4.5.6	CAS Reappointment, Advancement in Rank, and Tenure .....	136
3.4.5.6.2	Procedures of the CAS Peer Review Council .....	144
3.4.5.6.3	Timeline for CAS Advancement in Rank and/or Tenure.....	145
3.4.5.6.4	Timeline for CAS Reappointment of Candidates .....	146
3.4.5.7	College of Business Reappointment, Advancement in Rank, and Tenure .....	148
3.4.5.8	College of Education Reappointment, Advancement in Rank, and Tenure .....	164
3.4.5.9	College of Graduate and Innovative Programs Reappointment, Advancement in Rank and Tenure .....	185
3.4.6	Post-Tenure Review Process.....	208
3.4.7	Distinguished Professor .....	208
3.4.9	Removal from Office .....	209
3.4.9.1	General Conditions for Removal from Office .....	209
3.4.9.2	Procedures for Alleged Performance Deficiencies or Misconduct .....	210
3.4.9.2.1	Correction Short of Dismissal for Cause or Other Serious Sanction .....	210
3.4.9.2.2	Dismissal for Cause or Other Serious Sanction. ....	210
3.4.10	Modified Service and Retirement.....	216
3.4.11	Retirement Age.....	216
3.4.12	Extension of Service.....	216
3.4.13	Faculty Leaves.....	216
3.4.13.1	Sabbaticals .....	216
3.4.13.2	Study Leave Policy .....	217
3.4.14	Faculty Research .....	218
3.4.14.1	Institutional Review Board .....	218
3.4.14.2	Membership of the IRB.....	219
3.4.14.3	Conflict of Interest .....	219
3.4.14.4	Activities That May Not Require Review.....	219
3.4.14.5	Classroom Projects.....	219
3.4.14.6	Program Evaluations .....	220
3.4.14.7	CUC Statement on Animal Research.....	220
3.4.15	Faculty Allowances for Professional Conferences .....	220
3.4.16	Faculty Anniversary Fund .....	221
3.4.17	Disclosure of Conflicts of Interest.....	221
3.4.18	Rostered Faculty Removal from Position.....	222
3.4.19	Academic Freedom Policy .....	222
3.4.19.1	Higher Education Mission Statement.....	222
3.4.19.2	Freedoms and Opportunities .....	223
3.4.19.3	Responsibilities and Limitations .....	224
3.4.19.4	Due Process.....	225

3.4.19.5	Implementation .....	225
<b>3.5.</b>	<b>Reduction in Force Policy.....</b>	<b>225</b>
3.5.1	Preamble .....	225
3.5.2	Application of Policy .....	226
3.5.3	Procedures.....	226
3.5.4	Personal Rights .....	228
3.5.5	Appeal.....	229
<b>3.6.</b>	<b>Faculty Compensation .....</b>	<b>229</b>
3.6.1	Salary Schedules .....	229
3.6.3	Summer Teaching Loads .....	230
3.6.4	Compensation Payments.....	230
3.6.5	Vacation Benefits.....	230
3.6.6	Salary Payments in Faculty Terminations .....	231
3.6.7	Outside Employment of Full-time Faculty Members .....	231
3.6.8	Tuition Benefits .....	232
<b>3.7.</b>	<b>Instructional Programs.....</b>	<b>232</b>
3.7.1	Expectation of Faculty and Students.....	232
3.7.1.1	Student Class Attendance Policy .....	232
3.7.1.2	Faculty Absences .....	232
3.7.1.3	Field Trips.....	232
3.7.1.4	Faculty Office Hours.....	233
3.7.1.5	Classroom Regulations .....	233
3.7.1.6	Responsibilities for Faculty Use of E-mail and Voicemail .....	234
3.7.1.7	Chapel Period.....	235
3.7.2	Textbooks and Class Materials .....	235
3.7.2.1	Adoption of Textbooks .....	235
3.7.2.2	Sale of Class Materials.....	235
3.7.2.3	Technology, Printing, Other Media Services .....	235
3.7.2.4	Tablet Policy .....	236
3.7.2.4.1	Background.....	236
3.7.2.4.2	Policy .....	237
3.7.3	Evaluation and Grading .....	237
3.7.3.1	General Principles for Evaluation and Grading .....	237
3.7.3.2	Grading Patterns.....	238
3.7.3.3	Final Examinations .....	238
3.7.3.4	Pass/D/F Option .....	238
3.7.3.5	Incompletes and Withdrawals .....	240
3.7.4	Registration and Course Credit .....	240
3.7.4.1	Definition of Full-Time Student.....	240
3.7.4.2	Repeat of a Course .....	240
3.7.4.3	Quality Points.....	240
3.7.4.4	Dean's List.....	241
3.7.4.5	Academic Overloads and Reduced Loads.....	241
3.7.4.6	Credit for Prior Learning.....	241
3.7.4.7	Independent Study.....	242
3.7.5	Admission Policies .....	243
3.7.5.1	Degree Program Definition .....	243
3.7.5.2	Admission to the University.....	243
3.7.5.3	Admission to Advanced Undergraduate Status .....	243
3.7.5.4	Admission to Placement.....	243

3.7.5.5	Goals of General Studies.....	244
3.7.6	Library and Media Services .....	244
3.7.6.1	Regulations .....	245
3.7.6.2	Reserve Collection .....	245
3.7.6.3	Material Selection .....	245
3.7.6.4	Reference Services and Instruction .....	245
3.7.6.5	Electronic Catalogs and Databases .....	245
3.7.6.6	Audio Visual Services (CougarNet).....	245
3.7.6.7	CLIC (Curriculum Library and Idea Center) .....	246
3.7.7	Correspondence Study .....	246
3.7.7.1	Instruction .....	246
3.7.7.2	Fee Structure .....	247
3.7.7.3	Student Services .....	247
3.7.8	Continuing Education .....	247
3.7.8.1	Program Offerings.....	247
3.7.8.2	Procedures for Conference Planning.....	247
3.7.9	Budgetary Procedures .....	248
3.7.10	Academic Functions .....	248
3.7.11	Academic Apparel.....	248
3.7.12	Speakers for Academic Occasions .....	248
3.7.13	On-line Courses .....	248
<b>3.8.</b>	<b>Student Life and Activities .....</b>	<b>248</b>
3.8.1	Family Educational Rights and Privacy Act (FERPA) .....	248
3.8.2	Policies on Student Organizations .....	249
3.8.2.1	Objectives of the Co-curricular Program .....	249
3.8.2.2	The Function of the Department in the Co-curricular Program .....	249
3.8.2.3	Organization of Co-curricular Groups .....	249
3.8.2.4	Faculty Directed Groups .....	250
3.8.3	Scheduling of Events .....	250
3.8.3.1	Guidelines for Extended Travel Courses .....	251
3.8.3.2	Extended Travel Approval Process .....	251
3.8.3.3	International Study.....	253
3.8.4	Policies on Athletics .....	254
3.8.4.1	Athletic Eligibility.....	254
3.8.4.2	Intercollegiate Program.....	254
3.8.4.3	Intramural Program .....	254
3.8.5	Counseling and Guidance Program .....	254
3.8.6	Graduation .....	255
3.8.6.1	Student Honors.....	255
3.8.6.2	Diplomas .....	255
<b>4</b>	<b>Appendix .....</b>	<b>256</b>
<b>4.1</b>	<b>Title IX Coordinators' Duties and Responsibilities .....</b>	<b>256</b>
4.1.1	Reporting a Violation of this Policy .....	257
4.1.2	Options for Assistance Following an Incident of Sexual Assault .....	258
4.1.3	Academic Accommodations and Interim Measures .....	259
4.1.4	Investigation and Grievance Procedures.....	260
4.1.5	Formal Resolution Process .....	260
4.1.5.1	Standard for Determining Responsibility.....	260
4.1.5.2	Rights of Complainants and Accused Parties.....	260
4.1.5.3	Timing of Resolution .....	260

4.1.5.4	Notification of Outcome .....	261
4.1.5.5	Prohibition Against Retaliation.....	261
4.1.6	Law Enforcement.....	262
4.1.7	Confidentiality .....	262
4.1.8	Sanctions and Remedies .....	263
4.1.9	Fabricated Allegations .....	263
<b>4.2</b>	<b>Detailed Explanation of the Family and Medical Leave Act.....</b>	<b>263</b>
4.2.1	Definitions .....	263
4.2.2	Serious Health Condition.....	264
4.2.3	Health Care Provider .....	265
4.2.4	Qualifying Exigency .....	265
4.2.5	Leave to Care for a Covered Service member .....	266
4.2.6	Amount of Leave .....	267
4.2.7	How to Request FMLA Leave.....	267
4.2.7.1	Foreseeable Leave .....	268
4.2.7.2	Unforeseeable Leave.....	268
4.2.7.3	Leave During Work Hours.....	268
4.2.7.4	Intermittent and Reduced Schedule Leave .....	269
4.2.7.5	Eligibility Notice.....	269
4.2.7.6	Designation of FMLA Leave .....	269
4.2.7.7	Certification .....	270
4.2.7.7.1	Certification of a Serious Health Condition.....	270
4.2.7.7.2	Authentication and Clarification.....	270
4.2.7.8	Second and Third Opinions.....	270
4.2.7.9	Recertification.....	270
4.2.7.10	Certification of a Qualifying Exigency .....	271
4.2.7.11	Certification for a Covered Service member.....	271
4.2.7.12	While On FMLA Leave .....	271
4.2.7.13	Health Benefits.....	272
4.2.7.14	Other Benefits .....	272
4.2.7.15	Reporting Requirements during Leave .....	272
4.2.7.16	Reinstatement at the Conclusion of FMLA Leave .....	272
4.2.7.17	Prohibitions .....	273
4.2.7.18	The University's Commitment.....	273
<b>4.3</b>	<b>Victims' Economic Security and Safety Act (VESSA).....</b>	<b>273</b>
<b>5</b>	<b>Index.....</b>	<b>277</b>



# **1 GENERAL EMPLOYMENT HANDBOOK SECTION:**

## **1.1 GOVERNANCE AND VALUES**

### **1.1.1 INTRODUCTION TO THE HANDBOOK**

This Handbook consists of three sections: General Employee, Staff and Faculty and outlines the basic policies and procedures applicable to the employees of Concordia University Chicago (“the University”). Most policies and procedures apply to all employees but there are some that are applicable specifically to staff and additional policies and procedures specific to faculty members.

This handbook does not contain every University policy or procedure. Rather, it compiles certain policies and procedures that are of particular importance to University employees. The information contained in this Handbook is presented as a matter of general information only. This Handbook is not a contract, and its contents should not be interpreted as a contract between the University and any of its employees. The University reserves the right to change, modify, revoke, suspend, or terminate any policies or portion of this Handbook at any time as it deems appropriate, in its sole discretion.

University employees are required to read, understand, and comply with all provisions of this Handbook, as they may be amended from time to time. Employees are also required to comply with the law at all times. All employees must complete and return the Handbook acknowledgment form, p. 2, to the Office of Human Resources, Addison Hall, Room 128. If there are any questions about this Handbook or about other University policies or procedures, please contact the Office of Human Resources, 708 209 3512.

### **1.1.2 UNIVERSITY MISSION, VISION AND CORE VALUES**

#### **1.1.2.1 MISSION**

As a distinctive, comprehensive university of The Lutheran Church–Missouri Synod, centered in the Gospel of Jesus Christ, and based in the liberal arts, Concordia University Chicago equips men and women to serve and lead with integrity, creativity, competence and compassion in a diverse, interconnected and increasingly urbanized church and world.

#### **1.1.2.2 VISION**

Rooted in its Christian heritage of engaging knowledge and faith, Concordia University Chicago aspires to be the destination university for all who seek to develop their full individual potential through a distinctive, innovative and dynamic environment of exploration, creativity and discovery for leading lives of servant-minded leadership.

#### **1.1.2.3 CORE VALUES**

As a Christian university of The Lutheran Church–Missouri Synod, we, at Concordia University Chicago, value:

**Christian Faith** – The Christian faith is an integral part of our community.

**The Individual** – As a member of God’s creation, each person is unique and is blessed with inherent worth.

**Excellence** – We strive for excellence in who we are and what we do.

**Integrity** – Our community demonstrates the accord between our beliefs and practices.

**Service** – Recognizing and addressing the needs of others is a response to God’s love for us, and a reflection of God’s love for them.

### 1.1.3 STANDARDS AND ETHICS

The following guidelines describe additional University expectations of all employees:

The University sets a high value on the personal integrity of its employees. All activities of and decisions made by University employees should be free from conflict of interest, which may be defined as any situation in which private outside interests are in conflict with the best interests of the University. For further information, see the Conflict of Interest Policy in this Handbook (Section 1.2.24 *Conflict of Interest*; and Section 3.4.17 *Disclosure of Conflicts of Interest*).

Concordia University Chicago is an institution of The Lutheran Church—Missouri Synod (LCMS), and accordingly all employees are expected to respect Holy Scripture, the Lutheran Confessions (*especially the Ecumenical Creeds and the Small Catechism*), and the official doctrines of the LCMS (collectively “Christian standards”) in performing their duties. Employees are the public face of the University to students, to co-workers, and to the community at large. The University’s Christian witness to the community and its public confession are defined, in part, by the conduct of its personnel. Accordingly, employees should refrain from engaging in activities contrary to Christian standards (a) in the course of their employment duties, (b) in any situation that would reasonably be expected to imply endorsement of such activities by the University (e.g., without limitation, use of official titles or letterhead), or (c) that would bring public discredit upon the University. Reasonable judgment should be used, recognizing that the public may apply different levels of scrutiny depending upon the nature and responsibilities of the employee’s position at the University. The Lutheran Church—Missouri Synod and its Concordia University System are equal opportunity employers that comply with all federal, state and local laws prohibiting discrimination, subject to its First Amendment rights as a church-affiliated institution. The Lutheran Church—Missouri Synod and its entities are in agreement with the civil rights laws of this country.

The University, as an institution of The Lutheran Church—Missouri Synod, is generally exempt from the provisions of the Civil Rights Act of 1964 which forbid discrimination in employment based on religion; therefore, the University retains the right to give preference in the hiring of persons who are Christian, and/or members in good standing of LCMS congregations. Beyond this religious exemption, it is the University’s employment practice under the Civil Rights Act of 1964, not to discriminate in hiring, training, compensating, promoting or terminating employees because of an individual’s race, color, national origin, ancestry, sex, (except where ordained ministers of religion are required), age, disability, pregnancy, veteran status, marital status or any other status protected by applicable federal, state or local

law in matters of admissions, employment, or in any aspect of the educational programs or activities it offers.

Each department shall be proactive in ensuring that all employees are afforded equal opportunity and treatment in related matters.

- Furthermore, the University expects each employee to maintain the highest ethical standards in all associations and activities involving students, staff, faculty and the community at large. It is vital that each employee work in a manner that will reflect well, not only on the employee and his/her department, but also on the University as a whole.
- In addition, Concordia University Chicago is committed to its liberal arts tradition. Such a tradition values the free and open expression of ideas and opinions, not only in the classroom, but among employees as well. Employees, therefore, are encouraged to express their ideas through the normal communication channels as established by University policy and, when appropriate, to participate in the administration of the University. The University encourages employees to communicate through appropriate channels their opinions, suggestions, ideas and grievances in a spirit of cooperation, trust and openness.
- The University is subject to the Academic Freedom Policy of the Concordia University System; all employees who serve in a teaching capacity are expected to familiarize themselves with that policy, which is found in the Faculty Handbook, Section 4.19.

### **1.1.4 UNIVERSITY GOVERNANCE**

Concordia University Chicago is governed by a Board of Regents, the majority of whom are elected at triennial conventions of The Lutheran Church—Missouri Synod and of the Northern Illinois District of The Lutheran Church—Missouri Synod; additional regents are appointed by the Board. Policies and directives of the Board of Regents are carried out by the President, who is the executive officer of the Board. The President, in turn, delegates responsibilities for the various areas of activity to administrative officers.

### **1.1.5 HISTORY**

The University was founded in Addison, Illinois, in 1864 on six acres (soon to become 20 acres) as the *Evangelical Lutheran Teachers Seminary*. Within two years it was a five year program preparing male teachers for congregations of The Lutheran Church—Missouri Synod.

In 1913 the campus was relocated to its current 40-acre site in River Forest, Illinois, renamed as *Concordia Teachers College*. On this site it grew in enrollment and facilities, but the focus remained on the preparation of male teachers for the church. In 1939 the first female students were admitted. In 1957 the graduate program was introduced, initially only offered on the campus.

In the late 1960's the University began accepting a limited number of liberal arts students. As the limit for liberal arts students was increased, the University's name was changed to *Concordia College* in 1979 to reflect this change. To better accommodate curriculum development and expansion, the structure of the faculty was completely changed, together with the adoption of the name *Concordia University*, in

1990. Because of a massive expansion of the offerings and locations of the graduate programs and the necessity to uniquely identify this Concordia, in 2006 the University began doing business as *Concordia University Chicago*, while retaining its registered corporate name of *Concordia University*<sup>1</sup>.

## 1.2 COMPLIANCE

### 1.2.1 ANTI-DISCRIMINATION AND ANTI-HARASSMENT POLICY

Concordia University Chicago does not discriminate, or tolerate discrimination, against any member of its community on the basis of race, color, national origin, ancestry, sex, age, religion, disability, pregnancy, veteran status, marital status, or any other status protected by applicable federal, state or local law in matters of admissions, employment, or in any aspect of the educational programs or activities it offers.

Harassment, whether verbal, physical or visual, that is based on any protected characteristic(s), is a form of discrimination. This includes harassing conduct affecting tangible work or educational benefits, interfering unreasonably with an individual's job or academic performance, or creating what a reasonable person would perceive is an intimidating, hostile or offensive work or learning environment.

Examples of discrimination and harassment may include (but are not limited to):

- refusing to offer educational opportunities to someone because of the person's protected status;
- making a grading decision because of the person's protected status;
- jokes or epithets about another person's protected status;
- teasing or practical jokes directed at a person based on his or her protected status;
- the display or circulation of written materials or pictures that degrade a person or group based upon a protected characteristic; and
- verbal abuse or insults about, directed at, or made in the presence of an individual or group of individuals in a protected group.

Additional information regarding the University's prohibitions against sex discrimination (including sexual harassment, sexual assault, and sexual violence) and disability discrimination are set forth below.

It is the policy of the University to provide a work and educational environment free of all forms of sex discrimination, including but not limited to unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct or communications constituting sexual harassment, as defined in this policy and as otherwise prohibited by state and federal statutes. Sexual harassment, including acts of sexual assault and sexual violence, is a form of sex discrimination and is prohibited by the University. This prohibition against discrimination on the basis of sex applies to all students, faculty, and staff, to

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<sup>1</sup> For a more complete history of the first one hundred years of the University see Alfred J. Freitag, *College with a Cause: A History of Concordia Teachers College* (River Forest: Concordia Teachers College, 1964). For the period from 1964 through 1989 see Paul G. Bunjes and Merle L. Radke, *Changeless Change: 125 Years 1864-1989* (River Forest, Concordia College, 1989). For the first 150 years see *Concordia University Chicago Faithfully Onward, Ever Upward*, 2014. These publications are available in the Klinck Memorial Library, located on the River Forest campus.

other members of the University community, and to contractors, consultants, and vendors doing business or providing services to the University.

Prohibited conduct includes all forms of sex discrimination and sexual harassment, as well as sexual assault, sexual violence, domestic violence, dating violence, and stalking. Sexual harassment, which includes sexual assault and sexual violence, may take many forms.

### **1.2.2 NO RETALIATION**

No individual who makes a complaint alleging a violation of this policy or who participates in the investigation or resolution of such a complaint shall be subject to retaliation as a result of such activity or participation. Retaliation exists when action is taken against a complainant or participant in the complaint process that (i) adversely affects the individual's opportunity to benefit from the University's programs or activities; and (ii) is motivated in whole or in part by the individual's participation in the complaint process. Any acts of retaliation, as defined in this policy, shall be grounds for disciplinary action, up to and including dismissal for students and termination of employment for faculty and staff.

### **1.2.3 SEXUAL HARASSMENT**

Sexual harassment may consist of repeated actions or may even arise from a single incident if sufficiently extreme. The complainant and the alleged perpetrator may be of either gender and need not be of different genders. Sexual harassment includes unwelcome sexual advances, requests for sexual favors, and other verbal, nonverbal, or physical conduct of a sexual nature where:

submission to such conduct is made, either explicitly or implicitly, a term or condition of an individual's employment or education, status in a position of employment or an academic course or program, or participation in any University activity;

submission to, or rejection of such conduct by an individual is used as the basis for a decision affecting an individual's employment or education, status in a position of employment or an academic course or program, or participation in any University activity; or

such conduct is intended to or would objectively be regarded by a reasonable person as (i) unreasonably interfering with an individual's job performance or academic performance in a course or program, or participation in any University activity, or (ii) creating an intimidating, hostile, or offensive work, learning, or educational environment.

Depending on the circumstances, sexual harassment may include, but is not limited to, the following:

Physical assaults of a sexual nature, such as rape, sexual assault, sexual battery, molestation, or attempts to commit these acts;

- Intentional physical conduct that is sexual in nature such as touching, pinching, patting, grabbing, poking, or brushing against another individual's body;

- Offering or implying a job- or education-related reward (such as a pay increase, a favorable employment evaluation, a job promotion, a better grade, a letter of recommendation, favorable treatment in the classroom, assistance in obtaining employment, grants or fellowships, or admission to any educational program or activity) in exchange for sexual favors or submission to sexual conduct;

Threatening or taking a negative employment or educational action (such as a reduction

in pay, a negative employment evaluation, or a demotion, giving an unfair grade,

withholding a letter of recommendation, or withholding assistance with any educational

activity) or intentionally making the individual's job or academic work more difficult

because sexual conduct is rejected;

The use or display in the workplace or classroom, including electronic, of pornographic

or sexually harassing materials such as posters, photos, cartoons or graffiti without

pedagogical or other justification; and

Unwelcome sexual advances, repeated propositions or requests for a sexual relationship

to an individual who has previously indicated that such conduct is unwelcome, or sexual

gestures, noises, remarks, jokes, questions, or comments about a person's sexuality or

sexual experience.

## **1.2.4 SEXUAL ASSAULT AND SEXUAL VIOLENCE**

Sexual assault/sexual violence is a particular type of sexual harassment that includes physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent due to the victim's use of drugs or alcohol. This includes, but is not necessarily limited to:

- Nonconsensual Sexual Contact

Nonconsensual sexual contact is: any intentional sexual touching, however slight, with any object, by a man or a woman upon a man or a woman, without effective consent.

- Nonconsensual Sexual Intercourse

Nonconsensual sexual intercourse is: any sexual intercourse (anal, oral, or vaginal), however slight, with any object, by a man or woman upon a man or a woman, without effective consent.

### **1.2.5 CONSENT**

Consent is a voluntary and knowing agreement to engage in sexual activity. Consent may be given by words or actions unmistakable in meaning. In order to be effective, consent cannot be procured by use of physical force, compelling threats, intimidating behavior, or coercion. In order to give effective consent, one must be of legal age. Consent to past sexual activity does not imply consent to future sexual activity, and consent to one type of sexual activity or sexual activity with one person does not imply consent to others. Silence or an absence of resistance does not imply consent. Consent can also be withdrawn at any time.

Sexual activity with someone known to be or should be known to be mentally or physically incapacitated (alcohol or other drug use, unconsciousness, or blackout) is a violation of this policy and may be in violation of the law. Any time sexual activity takes place between individuals, those individuals must be capable of controlling their physical actions and be capable of making rational, reasonable decisions about their sexual behavior.

A person who is incapacitated, such as due to the use of drugs or alcohol, when a person is asleep or unconscious, or because of an intellectual or other disability, cannot consent to sexual activity. This policy also covers someone whose incapacity results from mental disability, sleep, involuntary physical restraint, or from the taking of a so-called “date-rape” drug. Possession, use, and/or distribution of any of these substances, including Rohypnol, Ketamine, GHB, Burundanga, etc., is prohibited, and administering one of these drugs to another person for the purpose of inducing incapacity is a violation of this policy. Use of alcohol or other drugs will never function to excuse behavior that violates this policy.

### **1.2.6 DOMESTIC VIOLENCE**

Domestic violence includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction, or any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of the jurisdiction.

### **1.2.7 DATING VIOLENCE**

Dating violence is violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim, where the existence of such a relationship shall be determined based on a consideration of the following factors: the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship.

### **1.2.8 STALKING**

Stalking means engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for their safety or the safety of others; or suffer substantial emotional distress.

### **1.2.9 SEXUAL EXPLOITATION**

Sexual exploitation occurs when a person takes non-consensual or abusive sexual advantage of another, and that behavior does not otherwise constitute one of the preceding offenses. Examples of behavior that could rise to the level of sexual exploitation include:

- Prostituting another person;
- Non-consensual visual (e.g., video, photograph) or audio-recording of sexual activity;
- Non-consensual distribution of photos, other images, or information of an individual's sexual activity, intimate body parts, or nakedness, with the intent to or having the effect of embarrassing an individual who is the subject of such images or information;
- Exceeding the boundaries of consent;
- Engaging in non-consensual voyeurism;
- Knowingly transmitting an STI, such as HIV, to another without disclosing your STI status;
- Exposing one's genitals in non-consensual circumstances, or inducing another to expose their genitals;
- Possessing, distributing, viewing or forcing others to view illegal pornography.

### **1.2.10 RETALIATION**

It is a violation of University policy to retaliate in any way against a person or persons because they have opposed any practices forbidden under this policy or have filed a complaint, provided information, assisted, or participated in any manner in an investigation or proceeding under this policy. This includes action taken against a bystander who intervened to stop or attempt to stop a violation of this policy. Retaliation may take many forms, and may include intimidating, threatening, coercing, or in any way discriminating against an individual because of the individual's complaint or participation. Action is generally deemed retaliatory if it would deter a reasonable person in the same circumstances from opposing practices prohibited by this Policy. The University will take immediate and responsive action to any report of retaliation and may pursue disciplinary action as appropriate.

The University is committed to providing a work environment that is free of harassment, intimidation, threats, coercion or discrimination based on factors such as race, color, sex, national origin, ancestry, disability, veteran status or age. The University strongly disapproves of and will not tolerate harassment of its employees by managers, supervisors, co-workers, students or vendors. Any employee who engages in harassing conduct is in violation of this policy and will be subject to discipline, up to and including termination of employment. Likewise, the University will not tolerate harassment instituted by or against nonemployees with whom the University has a business, service or professional relationship.

**To satisfy both the Title VII and Title IX requirements of the Civil Rights Act of 1964, the University will apply a simple rule that all employees are responsible employees who must report all behaviors and incidents covered by these laws with the exception of confidential employees (e.g. counselors, advocates, and clergy).**



A thorough investigation will be undertaken and appropriate action will follow. Moreover, reports may be made knowing that they will be held in confidence to the fullest extent possible (some details or identities may need to be revealed in order to fully investigate the complaint). The employee who reports the incident will be advised in general terms of the findings and the action taken.

Employees who (in good faith) file complaints, report suspected violations of this policy or participate in an investigation may do so without fear of retaliation or adverse employment action and with confidence that their concerns will be thoroughly investigated.

### **1.2.11 TITLE IX**

This policy supplements the general policy statement set forth above and addresses the requirements of Title IX of the Education Amendments of 1972 (“Title IX”). Title IX is a federal law that prohibits sex discrimination in federally funded education programs and activities. Title IX states as follows:

No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance.

Discrimination on the basis of sex (i.e., sex discrimination) includes sexual harassment, sexual assault, and sexual violence.

### **1.2.12 TITLE IX COORDINATORS**

Any inquiries regarding Title IX or the University’s Anti-Discrimination and Anti-Harassment Policy should be directed to one or more of the Title IX Coordinators identified below. These Coordinators will be available to meet with or talk to students, staff, and faculty regarding issues relating to Title IX and this policy.

*Lead Coordinator*

*Kathe Heetel*

*Title IX Coordinator/*

*Director, Honor Code*

*Office: Addison Hall, Room 131*

*(t) 708 488 4112*

*Katherine.Heetel@cuchicago.edu*

*Deputy Coordinator*

*Margaret K. O’Brien*

*Director, Human Resources*

*Office: Addison Hall, Room 128*

*(t) 708 209 3528*

*Margaret.Obrien@cuchiago.edu*

*Deputy Coordinator – Athletic Title IX Compliance*

*Sarah O’Malley Fisher*

*Senior Women’s Administrator*

*Head Softball Coach*

*Office: Kretzmann Hall 103*

*(t) 708-209-3650*

*Sarah.OMalleyFisher@cuchicago.edu*

A detailed description of their duties and responsibilities and the investigation process for violations of this policy is listed in the Appendix, starting on p. 52.

### **1.2.13 ACCOMMODATING INDIVIDUALS WITH DISABILITIES (ADA)**

As noted in the general policy statement set forth above, the University does not discriminate against individuals on the basis of physical or mental disability in the employment or academic setting. To ensure equal access to its programs and activities, the University is committed to providing reasonable accommodations, including appropriate auxiliary aids and services, academic adjustments, and/or modification to the University's policies and procedures, to qualified individuals with disabilities, unless providing such accommodations would result in an undue burden or fundamentally alter the nature of the relevant program or activity. Contact the Office of Human Resources for information and help in determining appropriate accommodations.

### **1.2.14 PROTECTED HEALTH INFORMATION**

Concordia University Chicago is committed to safeguarding the right of all employees to privacy in the use and disclosure of protected health information. Each employee's protected health information is confidential. It will be safeguarded in accordance with University policy and all applicable legal requirements.

Any medical information obtained about employees is kept in separate and confidential files with limited access to the information.

### **1.2.15 FUNDRAISING**

The Development and Alumni Relations Department is charged with assisting faculty and staff in the solicitation and management of grants and contracts from governmental agencies. Any and all other fundraising activities connected to the University, including but not limited to fundraising for University teams, clubs, or groups, must be conducted through and with the approval of the Development and Alumni Relations Department. The University will provide custodial services for monies raised through such activities as noted below.

### **1.2.16 BANK ACCOUNTS AND UNIVERSITY COMMITMENTS**

The authority to open and maintain bank accounts for the University falls under the Chief Financial Officer. No individual employee has the authority to create or maintain an account with University moneys for any purpose. Only an employee who is an authorized signatory, as determined by the Chief Financial Officer, may commit the University to any agreement or contract.

### **1.2.17 PURCHASE OF SERVICES, SUPPLIES, AND EQUIPMENT**

The function of the Finance Department exists for the purpose of both serving as a resource to University departments as well as overseeing the purchasing processes to help secure the best available price for goods and services. Each person involved in purchasing goods and services is responsible for protecting the interests of the University and avoiding any actual or apparent conflict of interest. Procedures are

applicable to all employees making purchases on behalf of the University. All purchases of goods and materials must be in compliance with all applicable laws and University policies, and under the terms and conditions that protect the University, employees, students, and donors.

Employees will not make contacts (except for textbook review, etc.) with any sales personnel or vendor except as arranged through the direction of the Purchasing Department. All purchases made outside of the above procedure will become the personal obligation of the person making the commitment.

Employees must submit all requisitions for purchases, including materials, supplies, and services, for approval by the budget control officer before submission to the Finance Department for a purchase commitment. It is advisable to consult in advance with the Purchasing Department for assistance with selection, scheduling of delivery, combining orders, and bids.

Please refer to the Prior Approval List on the portal for selected staff who serve as knowledgeable contacts for various purchases and to expedite requisitions, purchase order requests, and requests for reimbursement through Accounts Payable. This will insure that:

This item is in fact needed and not already available in another reasonable way

This item is of sufficient quality to meet the need

This item meets any related University standards

This item is being purchased at the lowest possible cost

This item will not be used to violate any licensing or copyright laws

### **1.2.18 USE OF VEHICLES FOR UNIVERSITY ACTIVITIES**

The University makes available a fleet of vehicles including passenger vehicles and vans for the use of the various departments on campus. To make a reservation for a University vehicle please contact Physical Plant.

All drivers of University Vehicles must complete a *Request to Drive a University Vehicle* form. The University's insurance carrier now requires that all drivers successfully complete an internet-based safe driver-training course and submit to a motor vehicle records background check. This information will be used to determine approval to drive a University vehicle. A copy of the employee's driver's license, notification of successful completion of the course and the background check will be kept on file for three years. This information is considered private and confidential and will be treated as such. Student teaching use, student pre-clinical experience use and other non-reimbursed University activity transportation are also to be processed in this manner.

If an employee determines that there is no longer a need any or all of the vehicles that have been reserved, the employee must call Physical Plant at extension 3168 and cancel the reservation or the employee will be charged for the use of the vehicle.

It is sometimes necessary to rent additional vehicles in order to accommodate all requests.

When a University-provided vehicle is not available, the University will reimburse the usage of a person's personally owned vehicle – forms are available in the Finance Office. The Vice President for Finance must sign forms before such use. Each form may authorize more than one trip. It is recommended to rent the vehicle in the name of the University, use the University address or use a University charge card, if available. This will provide evidence that the rental is for University business.

The University's auto insurance policy includes an *Employees as Insureds Endorsement* that provides coverage for employees to use University owned and rental vehicles so personal vehicle policies should not be triggered. Thus, when renting a car in the United States, purchase of additional coverage is not necessary and will only be considered as excess coverage. When renting outside the United States, purchase the liability and property coverage at the rental counter. Note: many rental contracts state that a contract is breached and void if the driver has been drinking.

Use of a personal vehicle for University business places the employee's personal automobile insurance policy as a primary course of recovery. The University's automobile policy does not cover losses, damages, etc. for personal automobiles.

## **1.2.19 PERSONAL RELATIONSHIPS**

University employees must use sound judgment when socializing or engaging in personal relationships with other employees or with students. In particular, the following rules must be followed:

### **1.2.19.1 SUPERVISOR/SUBORDINATE RELATIONSHIPS**

In light of the potential for misunderstanding, morale problems, or abuse arising from consensual romantic or sexual relationships, it is the University's policy that employees may not have evaluative authority in such matters as employment, compensation, promotion, budgeting or termination over any other employee with whom the employee with evaluative authority is having or has recently concluded a sexual and/or romantic relationship. When a situation occurs that potentially violates this policy, the employee with evaluative authority must report the relationship to his or her supervisor and the Director of Human Resources. If the person to whom the relationship is reported determines that reassignment or other mitigating action is necessary, it is the responsibility of both the employee with the evaluative authority and the individual to whom the relationship is reported to ensure that the evaluative authority is reassigned. If such action is not feasible in a particular instance, the employee with evaluative authority and the individual to whom the relationship is reported must bring the matter to the attention of the Director of Human Resources or other senior administrator to determine the appropriate course of action.

### **1.2.19.2 FAMILY RELATIONSHIPS**

For the same reasons set forth in the foregoing paragraph, where University employees have a family relationship (by blood or marriage, e.g., spouses, parent-child) and whether or not an employee currently has evaluative authority over the family member-employee, this fact should be disclosed in writing to the Director of Human Resources. It is the responsibility of the affected employees to make such disclosure and the employees should not assume that the Director of Human Resources or other administrators are aware of the relationship. The Director of Human Resources, in consultation with appropriate senior administrators, will determine whether any potential conflicts of interest exist, and if so, prepare a plan to

address any potential conflicts of interest. The affected employees will be notified and the plan will be placed in each employee's personnel file. Plans will be implemented in light of the University's needs and the facts and circumstances of each case, on a case-by-case basis, and may include, without limitation, setting up an alternate evaluative authority or similar measures to serve the best interests of the University, ensure fairness to each employee, and avoid placing any employee in a position where his or her objectivity may reasonably be questioned.

### **1.2.19.3 FACULTY-EMPLOYEE/STUDENT RELATIONSHIPS**

The University strongly discourages sexual and/or romantic relationships between its employees and students in all contexts. In light of the potential for misunderstanding, morale problems, or abuse arising from consensual romantic or sexual relationships, it is the University's policy that faculty members and other employees may not have evaluative, supervisory, coaching, or other authority over a student with whom the employee is having or has recently had a romantic or sexual relationship. If such a relationship exists or has existed, the employee must report the relationship to his or her supervisor and the Director of Human Resources. If the person to whom the relationship is reported determines that reassignment or other mitigating action is necessary, it is the responsibility of both the employee and the individual to whom the relationship is reported to ensure that the evaluative or supervisory authority is reassigned or other appropriate mitigating action is taken. If such action is not feasible in a particular instance, employee and the individual to whom the relationship is reported must bring the matter to the attention of the Director of Human Resources or other senior administrator to determine the appropriate course of action.

### **1.2.20 CONFIDENTIAL INFORMATION – STUDENT PRIVACY AND THE FEDERAL EDUCATIONAL RIGHTS PRIVACY ACT (FERPA)**

Federal law mandates that employees may not disclose personally identifiable information from a student's educational record without the prior written consent of the student (or of a parent or legal guardian, if the student is a minor). In addition, employees may not disclose information, even if not contained in the student's record, if that information is of a nature that would be considered confidential and came into the possession of the employee solely in connection with his or her employment by the University. Certain information obtained in an educational record may be disclosed without prior consent in limited exceptional circumstances, such as in cases where a court order directs the University to disclose such information, but such disclosures should be made only with the approval of the Registrar or Senior Vice President of Academics. Information may also be disclosed if necessary in an emergency situation. The health and safety of the University community is of utmost importance at all times.

Employees must follow the rules below to protect student confidentiality:

Do not request information from a student's educational record without a legitimate educational interest.

Do not disclose to any other employee any part of a student's educational record unless that employee has identified a legitimate educational interest.

Do not disclose to anyone outside the University any part of a student's educational record without the prior written consent of the student unless the disclosure has been authorized by the Registrar's Office.

### **1.2.21 OTHER CONFIDENTIAL INFORMATION**

Employees may also have access to other confidential, personal, or sensitive information regarding the University, its employees, students, customers, constituents, or other members of its community. Employees are responsible for taking appropriate measures to ensure the security and prevent the disclosure of such information. For further information regarding the appropriate handling and storage of such information, the employee should consult his or her supervisor.

### **1.2.22 MANDATORY CHILD ABUSE INCIDENT REPORTING**

The Illinois Abused and Neglected Child Reporting Act (ANCRA) requires certain individuals – called mandated reporters – to immediately report suspected child abuse or neglect to the Illinois Department of Child and Family Services (DCFS) Child Abuse Hotline at 1-800-25-ABUSE.

Under Illinois law, all “personnel of institutions of higher education” are **mandated reporters** and must immediately report any instance where there is reasonable cause to believe that a child known to them in their professional or official capacity as an employee may be abused or neglected. This means that all employees of the University are mandated reporters.

The University therefore requires all of its employees to immediately report to DCFS if they have reasonable cause to believe a child known to them in their professional or official capacity may be abused or neglected. Failure by a University employee to immediately report suspected instances of child abuse or neglect to DCFS is not only a violation of University policy; it is also a crime.

The employee shall also promptly notify the Director of Human Resources that a report has been made; however, reporting suspicions to the Director of Human Resources or to another employee of the University – but not DCFS – does not satisfy the legal duty to report. The only means of fulfilling one’s legal obligation and avoiding legal penalty is to report the suspected child abuse or neglect to DCFS. For more information regarding ANCRA, including guidance regarding what constitutes abuse or neglect, please see DCFS’s website: <http://www.state.il.us/dcfs>.

### **1.2.23 ATTIRE AND APPEARANCE**

University employees are required to maintain a professional appearance at all times, and to dress appropriately with business casual attire at the minimum for their worksite and job assignments. It is expected that employees will take care in coordinating clothing in order to present a neat, well-groomed, “put-together” and professional appearance within a business casual environment. How employees appear to the public and the University community must transmit the message of a competent professional environment.

Casual attire such as t-shirts, jeans or shorts is not permitted; however, specific dress and appearance requirements will vary depending on the nature of a particular position. Staff members may consult with their supervisors for further details regarding appropriate dress standards.

Good personal hygiene is a must. Additionally, strong scents should not be used due to sensitivity (allergies or illness) of some people.

### **1.2.24 CONFLICT OF INTEREST**

Employees and others acting on the University's behalf must be free from conflicts of interest that could adversely influence their judgment, objectivity, or loyalty to the University. It is the policy of the University that its employees conduct the affairs of the University in accordance with the highest ethical, legal, and moral standards. University resources are to be used only in the interest of the University. An employee may not commit University resources to activities not in the interest of the University, including personal outside activities. To avoid a conflict of interest between personal or professional interests and University interests, an employee must not be in a position to make a decision for the University if his or her personal, professional, or economic gain or interest may be directly influenced or affected by the outcome.

An employee about to engage in an activity that may present a conflict of interest must provide written notification to his or her immediate supervisor. The supervisor will then advise the employee in writing whether the activity may be undertaken. An employee may appeal the supervisor's decision in writing to the Director of Human Resources whose decision is final.

### **1.2.25 OTHER INCOME**

Staff may not accept or solicit personal income for any services unless approved in advance by the CFO. Staff members are also expected to refrain from accepting or soliciting gifts or items of material value (e.g., gift cards, hotel rooms and trips), regardless of whether such items are provided in exchange for services. Specific questions regarding material value should be directed to the CFO.

Accepting gifts or favors above the value of \$100 is prohibited.

### **1.2.26 USE OF COPYRIGHTED MATERIALS AND INTELLECTUAL PROPERTY BELONGING TO OTHERS**

The University in no way condones the unlicensed exchange of proprietary intellectual property belonging to others. This includes, but is not limited to, written works, pictures, music, videos, software, and artistic works belonging to others. All University employees, in the performance of their duties, will refrain from aiding others in such efforts and will advise other members of the University community not to participate in such endeavors. Responsibility for the consequences of copyright violations shall remain the sole fiscal and legal responsibility of the offender. See the University Intellectual Property Policy on the portal.

### **1.2.27 MEDIA INQUIRIES**

Employees may receive inquiries from the media (newspapers, television, radio, etc.) regarding issues relating to the University. Employees should refer all such inquiries to the Office of Communications and Marketing. Only employees who have specifically been designated as University spokespeople may officially communicate with the media on behalf of the University.

See the University Social Media Policy on the page 44 of this Handbook.

## **1.2.28 WHISTLEBLOWER POLICY**

### **1.2.28.1 GENERAL CODE OF ETHICS AND CONDUCT**

The Concordia University Chicago (“Concordia”) Code of Ethics and Conduct (“Code”) requires Regents, officers, Faculty and staff to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of the Organization, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

### **1.2.28.2 REPORTING RESPONSIBILITY**

It is the responsibility of all Regents, officers and employees to comply with the Code and to report violations or suspected violations in accordance with this Whistleblower Policy.

### **1.2.28.3 NO RETALIATION**

No Regent, officer or employee who in good faith reports a violation of the Code shall suffer harassment, retaliation or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within the Organization prior to seeking resolution outside the Organization.

### **1.2.28.4 REPORTING VIOLATIONS**

The Code addresses the Organization’s open door policy and suggests that employees share their questions, concerns, suggestions or complaints with someone who can address them properly. In most cases, an employee’s supervisor is in the best position to address an area of concern. However, if you are not comfortable speaking with your supervisor or you are not satisfied with your supervisor’s response, you are encouraged to speak with someone in the Human Resources Department or anyone in management whom you are comfortable in approaching. Supervisors and managers are required to report suspected violations of the Code of Conduct to the Human Resources Department, who is responsible to report all such violations to the Organization’s Compliance Officer. The Compliance Officer has specific responsibility to ensure that all reported violations are investigated in an independent and thorough manner. For suspected fraud, or when you are not satisfied or uncomfortable with following the Organization’s open door policy, individuals should contact the Organization’s Compliance Officer directly.

### **1.2.28.5 Compliance Officer**

The Organization’s Compliance Officer has specific responsibility to ensure that all reported complaints and allegations concerning violations of the Code are investigated in an independent manner, and that appropriate resolutions are achieved. At his discretion, he shall advise the President, the Chairman of the Board, and/or the Finance Committee. The Compliance Officer has direct access to the Finance Committee of the Board of Regents and is required to report to the Finance Committee at least annually on compliance activity. Concordia’s Compliance Officer is the Chairman of the Board of Regents.



Contact information for Concordia's Compliance Officer will be publicly available and may also be found in the Human Resources Department, the President's Office, or the Chief Financial Officer's Office.

#### **1.2.28.6 ACCOUNTING AND AUDITING MATTERS**

The Finance Committee of the Board of Regents shall address all reported concerns or complaints regarding corporate accounting practices, internal controls or auditing. The Compliance Officer shall immediately notify the Finance Committee of any such complaint and work with the committee until the matter is resolved.

#### **1.2.28.7 ACTING IN GOOD FAITH**

Anyone filing a complaint concerning a violation or suspected violation of the Code must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of the Code. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

#### **1.2.28.8 CONFIDENTIALITY**

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

#### **1.2.28.9 HANDLING OF REPORTED VIOLATIONS**

If reported to the Human Resources Department or a member of management, the Human Resources Department shall be required to notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. If reported directly to the Compliance Officer, the receipt may not be acknowledged for a period of 20 business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

### **1.3 EMPLOYMENT AND PAYROLL INFORMATION**

#### **1.3.1 EQUAL EMPLOYMENT OPPORTUNITY**

Concordia University Chicago is an Equal Opportunity Employer. The University is committed to the principles of equal employment opportunity for all employees and applicants for employment. All policies and procedures including, but not limited to recruitment, hiring, assignment, conditions of employment, compensation, benefits, training, promotion, transfer, and termination are administered for all team members and job applicants without discrimination based on race, color, sex, national origin or ancestry, disability, veterans status or age. As an institution of The Lutheran Church—Missouri Synod, the University reserves the right to give preference in employment based on membership in The Lutheran Church—Missouri Synod or its member congregations, to the extent permitted by law. In addition, certain positions are required to be held by ordained or commissioned ministers of The Lutheran Church—Missouri Synod.

### **1.3.2 EMPLOYMENT ELIGIBILITY – IMMIGRATION LAW COMPLIANCE**

In accordance with the Immigration Reform and Control Act of 1986, each new employee, as a condition of employment, must complete the Employment Eligibility Verification Form I-9 and present proper documentation establishing identity and employment eligibility. Such documentation must be presented by the employee within 3 business days of hire, or on the first day of any employment that is less than 3 business days. Former employees who are rehired must also complete the form. Current employees whose work authorization has expired also will be required to re-verify their employment authorization.

### **1.3.3 EMPLOYMENT CLASSIFICATIONS**

The University employs several different classifications of employees and obtains services from various other service providers. The University reserves the right to reclassify a position in accordance with federal and/or state criteria. To make sure all employees have a common understanding of the terms used to describe these different classifications, the University uses these terms as described below:

#### **1.3.3.1 EXEMPT EMPLOYEE**

An employee whose position meets specific tests established by state and federal law who is exempt from overtime pay requirements. Working hours of exempt staff members will be determined based on the employee's job assignment, University and departmental needs. Exempt personnel are also not entitled to compensatory time for University activities performed beyond the normal work week.

Exempt employees will be paid a salary that is intended to compensate the employee for any and all work that is performed for the University, regardless of work hours. Such employees will receive their full salary for any work week in which they perform work. Deductions will be taken from exempt employees' salaries only for certain reasons, including:

No work is performed in a work week.

Full day absences for personal reasons;

Full day absences for sickness or disability, if no benefit time is available;

Full day disciplinary suspensions for infractions of safety rules of major significance or other unpaid disciplinary suspension;

Absences covered by FMLA leave (either full or partial day absences);

To offset amounts received as payment for jury and witness fees or military pay;

The first or last week of employment, if less than a full week is worked.

Deductions may also be taken for the employee portion of group benefit premiums, payroll taxes, social security, retirement contributions, wage garnishments, or voluntary deductions.

Salary will not be reduced in any work week in which work is performed due to partial day absences for personal reasons, sickness, or disability (other than FMLA leave), jury duty, attendance as a witness in a legal proceeding, or military leave. Employees may be required to use available paid leave (benefit time) to cover such absences.

### **1.3.3.2NON-EXEMPT EMPLOYEE**

An employee whose position does not meet applicable exemption tests and who is therefore eligible for overtime pay. Non-exempt employees are required to maintain a record of the total hours worked each day on the non-exempt timesheet located on the University portal. The employee should verify each paycheck immediately to ensure correct payment for all regular and overtime hours worked each workweek. The workweek for full-time, non-exempt staff is typically 40 hours per week. Part-time, non-exempt staff members are assigned hours by their supervisors. All non-exempt employees are entitled to one fifteen-minute, paid break for every four hours of continuous work. Employees can attend chapel and count it as work time. Employees can move one or both of their 15 minute breaks to the middle of the day and add the break time(s) to their lunch break with supervisor approval.

Non-exempt employees must take their meal breaks and may not work through them. If a non-exempt employee works through his or her break, he or she must record that time. Work breaks and lunch breaks cannot be accumulated at the beginning or end of the day and used to shorten the work day.

However, individual work schedules will vary based on the employee's job assignment and University and departmental needs. The employee's supervisor will inform each employee of his or her specific schedule.

### **1.3.3.3REGULAR FULL-TIME EMPLOYEE**

An employee who is regularly scheduled to work 30 or more hours per week. A regular full time employee may be exempt or non-exempt. Full time employees who work at least 7.5 hours per day are entitled to one 30 minute meal break after 5 hours of scheduled work. Full time employees may combine two paid fifteen minute breaks with an unpaid half hour for an hour lunch break.

### **1.3.3.4PART-TIME EMPLOYEE**

An employee who is regularly scheduled to work less than 19 hours per week and is eligible for the part-time Benefit Time accrual rate of 50%. An employee who is regularly scheduled to work 21-29 hours per week is also eligible for the part time benefit time accrual rate of 75% and is eligible for Concordia Retirement and Disability Plan.

### **1.3.3.5TEMPORARY EMPLOYEE**

An employee who is hired for a specific period, usually during peak workloads or for vacation relief, or to perform a specific task for a defined period of time. A temporary employee may work a full-time or part-time schedule. Temporary employees are not eligible for paid time off or other benefits.

## **1.3.4 COMPENSATION AND REPORTING ERRORS**

Generally, employees are paid on a biweekly basis (i.e., every two weeks). All employees are responsible for reviewing their pay stub each pay period and immediately reporting any problems or errors to Human Resources so that they can be fixed. This includes, but is not limited to, reporting incorrect salary deductions, incorrect hours, or missing overtime hours. Any employee who is asked, directed, or pressured to work “off the clock” or to otherwise falsify a time or payroll record, or who becomes aware of such a situation, must immediately report the matter to Human Resources. The University will promptly investigate reports made under this policy and take prompt action to remedy any issues and ensure that they do not reoccur.

The University will not retaliate against any person for making a good faith report under this policy, regardless of the outcome of the investigation. Similarly, the University will not retaliate against any person (other than someone who is found to have violated this policy) for providing truthful information in connection with an investigation under this policy in any respect. Any employee of the University who retaliates against another employee for making a report or participating in an investigation under this policy will be subject to discipline, up to and including termination.

### **1.3.5 PAY PERIOD**

The pay period begins on Monday and ends on the second Sunday following that Monday. Most personnel are paid biweekly, every other Friday, for the two week period ending on the preceding Sunday. The payroll stub, found on the University portal, on alternate Fridays for the two work weeks ending the previous last day of the defined work will list the various deductions that have been made. All payroll information is coordinated through the Finance Department.

Employees are paid by direct deposit to personal checking or savings accounts.

### **1.3.6 PAYROLL DEDUCTIONS AND REDUCTIONS**

Appropriate taxes (including state and federal income taxes and FICA taxes) are withheld each pay period and remitted by the University on behalf of its employees to the appropriate state and federal revenue offices. It shall be the employee’s responsibility to furnish the Payroll Office in the Finance Department with accurate information regarding dependents and dates for the basis of calculating the withholding tax deductions. By law no payroll check can be drawn, including those classified “Ministers of the Gospel,” without filing this information with the Payroll Office.

### **1.3.7 NON-MINISTER OF THE GOSPEL EMPLOYEES**

For Non-Minister of the Gospel employees, the University makes payroll deductions for social security taxes, federal, state, and applicable local payroll withholding taxes, approved local contributory programs, amounts owed the University and previously approved for payment by this method, and garnishments served on the University by a court order. All such deductions are shown on the payroll “stub” (if distributed) and are viewable on Banner Web.

The University makes federal or state tax deductions in accordance with federal and state law. At the beginning of employment, or at any time when there is a change in the number of dependents claimed for tax exemption, obtain an Employee’s Withholding Exemption Certificate, (Form W-4), from the Human

Resources Office for the purpose of reporting this information to the Payroll Administrator. The money deducted from pay for withholding tax is turned over to the government, and the University issues a W-2 statement by the end of January showing the total amount of wages paid during the previous calendar year and the total amount withheld for taxes.

In addition to the federal and state withholding taxes, each Non-Minister of the Gospel employee of the University is required to participate in the Federal Insurance Contribution Act (FICA or Social Security). Deductions are made from paychecks in accordance with the percentage prescribed by the federal government.

### **1.3.8 MINISTER OF THE GOSPEL EMPLOYEES**

For Minister of the Gospel employees, the University offers voluntary payroll deductions for applicable federal and state payroll withholding taxes, approved local contributory programs, amounts owed to the University and previously approved for payment by this method, and garnishments served on the University by a court order. All such deductions are shown on the payroll “stub” (if provided) and on Banner Web.

Members of the faculty and staff who are classified as “Ministers of the Gospel” would normally pay such income tax liability as is incurred on the basis of their estimate directly to the Internal Revenue Service with form 1040-ES.

The Board of Regents has set 65% as the standard housing allowance for Minister of the Gospel employees. The employee may submit a request for an increase in this percentage at the start of initial employment or two weeks prior to the final meeting of the year of the Board of Regents. Changes in housing allowance percentage must be approved by the Board of Regents and will not be made retroactive.

### **1.3.9 REHIRE OF A FORMER UNIVERSITY EMPLOYEE**

Former employees of the University who voluntarily separated or were terminated for job elimination may be rehired. In the event a person ceases to be employed and is subsequently rehired, credit is given for prior years of service.

### **1.3.10 CHANGE OF PERSONAL INFORMATION**

It is the responsibility of the employee to report changes in marital status, dependents, legal name, residential and mailing address(es), telephone number, beneficiaries for institutionally-funded programs, and whom to notify in the event of an emergency to the Director of Human Resources as soon as available or effective. Failure to do so promptly may incur loss of certain benefit programs. Also, in the event of requesting a change in benefits due to a marriage, a copy of an officially filed “Certificate of Marriage” or other government issued identification (a Social Security card, driver’s license, etc.) must accompany the request. Emergency contact information will be required for all staff and faculty.

### **1.3.11 EMPLOYEE RECORDS**

The Human Resources Office maintains all official employment records for University employees. In maintaining and releasing such records, the University complies fully with all relevant federal and state laws.

If any employee wishes to inspect eligible personnel documents, she/he must first submit a request in writing to the Director of Human Resources. The request will normally be answered within 7 days. The employee is not permitted to remove any part of such personnel records from the Human Resources Office. If the employee wishes copies of such records as are available to the employee, the employee will be charged for those copies at the prevailing photocopy rates.

If the employee disagrees with any available information contained in the personnel record, he/she may submit a request in writing for removal or correction. The employee may submit a written statement explaining the employee's position. The Director of Human Resources will attach the employee's statement to the disputed portion of the record, and will release it whenever the disputed portion is released.

### **1.3.12 EMPLOYMENT OF RELATIVES**

The University seeks the best qualified applications for open positions. If a family member or friend of an employee has the skill sets and experience that the University is seeking, he or she may apply. The University does not permit any employee to have direct or indirect managerial responsibility that could affect the hiring, assignment, compensation, promotion, evaluation, discipline, training, or termination of the employee's family member; if such an instance arises, appropriate arrangements will be made to address and avoid any potential conflict of interest. See "Personal Relationships – Family Relationships", above.

### **1.3.13 BACKGROUND CHECKS**

The University conducts criminal background checks on all final selected candidates for full- and part-time faculty and staff positions. Criminal background checks will be required for some student worker positions. Credit background checks will be required for potential employees in positions of trust and/or cash handling. Background checks may also be required at any time during employment, and may result in withdrawal of an offer or immediate termination of employment. All criminal background checks will be conducted in accordance with applicable laws, including but not limited to the Illinois Human Rights Act, the Job Opportunities for Qualified Applicants Act, and the Fair Credit Reporting Act.

### **1.3.14 CHARITABLE CONTRIBUTIONS**

University employees are encouraged to contribute to the ministry of the University. The easiest way to contribute is through payroll deduction whereby a set amount (which the employee determines) is deducted from each bi-weekly payroll. Gifts can also be given through traditional means such as cash, check, credit card, or stock transfer. For more information, contact the Foundation Office at (708) 209-3155.

### **1.3.15 GARNISHMENTS**

If any employee does not pay her/his debts, through legal means a creditor can order the University to withhold a certain amount from his/her paycheck (a “garnishment”). While the University has no desire to be involved in the employee’s personal financial affairs, it must obey the order of a court. The Director of Human Resources upon the receipt of a garnishment will notify the employee.

### **1.3.16 MOVING EXPENSES**

The University will reimburse up to one month’s gross base salary in moving related expenses for all new full-time faculty and any new full-time staff where a regional/national search has been conducted. For interstate moves, at least one quote from an LCMS General Services national contract vendor must be secured and the lowest bid must be accepted. All such expenses must be approved in advance by the Director of Human Resources, and documentation of expenses must be provided prior to reimbursement. Reimbursement applies only to moves for which moving expenses would otherwise be deductible under current IRS regulations.

### **1.3.17 CHAPEL ATTENDANCE**

Employees are encouraged to attend chapel. Chapel attendance can be counted as work time. Chapel attendance must be coordinated with the supervisor, as offices are expected to remain open during this time. Chapel services for faculty, staff, and students are held from 11:00 a.m. to 11:20 a.m. on days when classes are in session (alternate schedule during breaks and summer).

### **1.3.18 CHILDREN IN THE WORKPLACE**

Concordia University Chicago is committed to promoting equity for all employees and students and to ensure that individuals are not disadvantaged in their academic and career aspirations by actual or perceived family responsibilities. The University is, however, a place of work and study, and the activities of the University and its community should be respected and not unduly interrupted.

The University understands that although various childcare options are available to employees throughout the wider community, there are circumstances where an employee may need to bring a child onto the University’s premises. Employees should therefore utilize the following procedures in circumstances that are either unforeseen or difficult to avoid.

The provisions of this policy apply to children age 14 and under of employees, students, guardians, and visitors wishing to bring children into University workplaces during working hours.

Employees who must bring their children onto the campus during normal working hours and who are not participating in activities such as plays, athletic events, swimming lessons, etc., are to direct their request in advance (or upon arrival) to the Department Manager, or in the Department Manager’s absence, or to the Director of Human Resources.

The employee/guardian is responsible for all aspects of the child’s behavior, safety and financial reimbursement for any damage sustained to University property. *Children shall be under the direct supervision of the employee/guardian at all times. At no time shall a child be left unsupervised.*

Employees should be sensitive to the needs of colleagues and students and should not expect others to care for their children. When bringing children into the University, the needs of other staff and students to work and study should be respected.

## **1.3.19 SEPARATION FROM THE UNIVERSITY**

### **1.3.19.1 EMPLOYMENT AT WILL**

Unless otherwise stated in a written employment contract that is signed by authorized University officials, University staff members are employed “at will,” and employment may be terminated by either the employee or the University at any time, with or without cause or notice.

### **1.3.19.2 VOLUNTARY – RESIGNATION**

If an employee chooses to leave his or her employment with the University, the University requests that the employee provide a minimum of two weeks’ advance, written notice. Employees should submit their notice to their supervisor and Director of Human Resources.

### **1.3.19.3 VOLUNTARY – RETIREMENT**

An employee may choose to retire at any time after age 55, provided he or she qualifies under both applicable law and Concordia Retirement Plans. Employees who are considering retirement are encouraged to contact their supervisor and the Director of Human Resources, who is available to assist the staff member in making the transition to retirement without interruption in pension payments or medical benefits, for example, by initiating contacts with the Social Security Administration and Concordia Retirement Plans (CRP). See the *Handbook* sections for details on retirement (Section 2.10.3 *Voluntary Retirement* and Section 3.4.10 *Modified Service and Retirement* and following.).

## **1.3.20 EXIT PROCEDURES**

All employees must complete a brief exit interview before leaving in order to review insurance conversion rights, retirement accounts, return of University property (laptops, keys, ID cards, equipment, etc.), and other miscellaneous matters as may be necessary. Employees should provide a forwarding address and notify the University of any address changes during the calendar year in which termination occurs, so that tax information will be sent to the proper address.

## **1.3.21 EMPLOYMENT REFERENCES AND REQUESTS FOR INFORMATION**

All requests for information regarding current or terminated employees must be directed to Human Resources. Supervisors and other employees are prohibited from providing personal or employment references on current or terminated employees. For legal reasons, University references will be limited to job titles and dates of employment.

## **1.3.22 GRIEVANCE POLICY AND PROCEDURE**



All complaints pertaining to discrimination, harassment and retaliation should be addressed to the University's Title IX Coordinator, and will be handled pursuant to the University's Anti-Discrimination and Anti-Harassment policy. All other employment-related complaints should first be discussed with the employee's supervisor. If the employee is not comfortable discussing the complaint with the supervisor, or wishes to grieve a decision by the supervisor, the employee may bring the complaint to the applicable department head. If not satisfied with the department head's decision, the employee may bring the complaint to the Human Resources Department.

## **1.4 BENEFITS**

### **1.4.1 CONCORDIA PLAN SERVICES**

The University provides coverage for its employees through Concordia Plan Services. Any regular employee who works more than 20 hours per week for more than five consecutive months per year is eligible for participation in the Concordia Disability and Survivor Plan, Concordia Retirement Plan, and the Accident Insurance Plan.

Regular employees who work 30 or more hours per week are also eligible for participation in the Concordia Health Plan. For a comprehensive explanation of benefit coverage, check the Concordia Plan Services web site at [www.concordiaplans.org](http://www.concordiaplans.org), or consult the Human Resources Office.

#### **1.4.1.1 CONCORDIA HEALTH PLAN**

Eligible employees of the University are invited to participate in the Concordia Health Plan. Currently, the University pays a portion of the premium for participating employees, and the employee makes a contribution based on the coverage requested. This contribution will be deducted from the employee's paycheck twice a month. Employees can elect to have this amount deducted pre-tax by filling out the appropriate form in the Human Resources Office.

#### **1.4.1.2 CONCORDIA DISABILITY AND SURVIVOR PLAN**

Eligible employees of the University are enrolled by the University in the Concordia Disability and Survivor Plan. All full-time employees shall be provided 70% of their salary benefits while on sick leave, as adjusted for reimbursement by the Concordia Disability and Survivor Plan benefits. Contact the Human Resources Office for specific information.

#### **1.4.1.3 TAXATION OF CONCORDIA DISABILITY AND SURVIVOR PLAN**

For federal income tax purposes, the cost of group-term life insurance, or its equivalent, for benefits in excess of \$50,000 purchased as a part of a qualified plan (CD&SP is such a plan) is includible in gross income of the participant for the tax year. Such cost is also subject to Social Security Tax (FICA or SECA).

The University complies with this requirement for lay employees by making an annual withholding for the taxable portion and charging the employee for the FICA portion in the payroll period paid on the last payday in November of each year. Should any employee leave employment before that date, the

University will apply the prorated deduction and charge in the last paycheck paid. Should any employee join the University staff after such adjustment, the University will make any necessary adjustment in the last paycheck paid within that calendar year.

Ministers of the Gospel on the University payroll must make the necessary adjustments and reports in the usual manner in which other reports and payments are made to IRS. Ministers of the Gospel choosing “voluntary withholding” must make any necessary changes with the Payroll Department at least five business days prior to the pay date they wish such adjustment to become effective.

#### **1.4.1.4 CONCORDIA RETIREMENT PLAN – DEFINED BENEFIT PLAN**

Eligible employees of the University are enrolled by the University in the Concordia Retirement Plan. The University pays 100% of the premium for eligible employees.

#### **1.4.1.4 CONCORDIA RETIREMENT PLAN -- 403(B) – DEFINED CONTRIBUTION PLAN**

The 403(b) is a tax deferred retirement plan available to employees of educational institutions and certain non-profit organizations as determined by section 501(c)(3) of the Internal Revenue Code. Contributions and investment earnings in a 403(b) grow tax deferred until withdrawal (assumed to be retirement), at which time they are taxed as ordinary income. See IRS Publication 571 for IRS details on the 403(b). Employees can also obtain this document by calling 1-800-829-3676.

Employees who are interested in this program are encouraged to contact Human Resources. The employee is fully responsible for determination of her/his maximum eligible reduction, based on Internal Revenue Service (IRS) regulations.

#### **1.4.1.6 ACCIDENT INSURANCE**

Eligible employees of the University have the option of enrolling in this program. The cost for this benefit premium is absorbed by the employee through payroll deduction and is not paid by the University. Payroll deduction is made on a monthly basis.

#### **1.4.1.7 EMPLOYEE ASSISTANCE PROGRAM – COUNSELING SERVICES**

Any employee who is in need of counseling services on a personal level is encouraged to seek help from the Employee Assistance Program (EAP), which is available 24/7 through Cigna Behavioral Health (866-726-5267 toll-free) or [www.cignabehavioral.com](http://www.cignabehavioral.com) to all employees participating in the Concordia Health Plan. This program offers assistance with family, legal, financial, and a variety of other areas. For more information, or contact Concordia Plan Services directly at 1-888-927-7526 or [www.concordiaplans.org](http://www.concordiaplans.org).

Additional counseling services are provided by the Schmieding Center (located in the West Annex) and the Campus Pastor.

#### **1.4.1.8 FLEXIBLE SPENDING ACCOUNT**

Regular employees who work more than thirty hours per week on an ongoing basis are eligible to participate in the flexible spending plan (FSA) administered by Select Account. This plan allows an employee to set aside pre-tax deductions to be used toward eligible medical and dependent care expenses. The employee's self-determined election amount is deducted through payroll. For more information, contact the Human Resources Office for informational materials. Enrollment must be renewed every year.

#### **1.4.1.9 HEALTH SAVINGS ACCOUNT**

A Health Savings Account (HSA) is a tax-advantaged account owned by the worker that can be used to pay for qualified medical expenses and also serves as a savings vehicle for future healthcare expenses. Only those enrolled in option Blue HSA (the High Deductible Plan) through Concordia Health Plan, can open and contribute to an HSA. For more information, visit contact the Human Resources Office for informational materials.

#### **1.4.1.10 WELLNESS PLAN**

Eligible employees may enroll online in the Be Well, Serve Well plan which provides incentives to live a healthy life. For more information regarding benefit coverage, eligibility, and enrollment, please contact the Human Resources Department or visit [www.concordiaplans.org](http://www.concordiaplans.org).

### **1.4.2 CHILD CARE SERVICES**

The University offers child care services (depending upon availability) for dependents of employees. For information regarding available child care programs, rates, and additional information, please contact the Early Childhood Center at (708) 209-3099.

### **1.4.3 TUITION BENEFITS**

The University encourages its employees to further their formal education. The University therefore offers its regular employees the opportunity to take courses at reduced tuition rates. Employees may receive reduced tuition rates for courses taken at the University and at Dominican University. In addition, employees may be eligible for reimbursement of up to 50% of expenses for graduate or doctoral-level courses taken at other regionally accredited institutions of higher education, provided the selected program is not offered at the University.

Classes may not be taken during work hours and must not conflict with job duties. Courses must be taken for credit, and participating employees must meet any applicable admission or prerequisite requirements. Eligibility and tuition benefit amounts vary depending on employment status, length of service with the University, and course level (i.e., undergraduate, graduate, or doctoral). For additional information regarding tuition reduction and tuition reimbursement benefits, please contact the Human Resources Department.

#### **1.4.3.1 CONCORDIA UNIVERSITY CHICAGO TUITION REDUCTION**

With supervisory approval, any regular full-time employee in good standing for job performance (working over 30 hours per week) is permitted to attend classes at the University through a tuition reduction after a period of 90 days as outlined in the policy below. Also with supervisory approval, any regular part-time employee also in good standing for job performance (working a minimum of 19 hours per week) is permitted to attend classes at the University through a tuition reduction after a period of 5 continuous years of employment. No tuition benefits are available for temporary staff employees. Please refer to the chart below.

If employment status changes from that of student worker, or temporary staff, to that of part time staff or full time employee with benefits, the employee is required to wait the period of 90 days for full time or 5 years for part time within the new position. Registration fees, books, and all other fees and costs must be paid for by the employee. It is expected that class attendance will not be during working hours and will not conflict with job duties. Regular admission and prerequisite requirements for any course or program must be met by any employee participating in this program.

Undergraduate students must first apply for all federal, state, and institutional financial aid before being eligible to receive a tuition reduction. This will include the filing of a FAFSA – Free Application for Federal Student Aid ([www.fafsa.ed.gov](http://www.fafsa.ed.gov)). All students enrolled at any level are required to complete this information before the filing deadlines. Like other forms of financial aid, missed deadlines may result in the benefit not being available for that particular semester. The tuition benefit is only applicable after all other financial aid has been applied. The availability of the tuition reduction is subject to the same application and enrollment procedures and deadlines. Any student receiving tuition benefits under the faculty/staff waiver is required to meet current Financial Aid Standards of Academic Progress. These standards are published in the Concordia Catalog each year.

Tuition reduction at the University for dependents and spouses of regular full-time employees and faculty meeting certain requirements is also available. A dependent is defined as any dependent that the eligible employee is currently declaring on their Federal income tax returns. Where an employee is serving as a legal guardian, the instance will be individually evaluated by the Director of Human Resources for eligibility in this benefit.

NOTE: Employees who resign during a term will be responsible for a prorated portion of the course tuition based upon what portion of the course occurs after the last date worked.

The following benefit levels are only for classes taken at the University:

#### **1.4.3.2 SCHEDULE OF LEVELS FOR TUITION BENEFITS**

	Undergraduate Course	Graduate Course	Doctoral Degree Course
<b>LEVEL 1 - Tuition Benefit – Regular full-time employees with at least six months seniority.</b>			

Employee	100% Waiver	80% Waiver	50% Waiver
Spouse	100% Waiver	80% Waiver	No Benefit
Dependent	100% Waiver	No Benefit	No Benefit
<b>LEVEL 2 - Tuition Benefit - Regular full-time employees with at least ninety days seniority.</b> The course must begin after the 90 days seniority has been reached.			
Employee	100% Waiver	80% Waiver	No Benefit
Spouse/Dependent	No Benefit	No Benefit	No Benefit
<b>LEVEL 3 - Tuition Benefit – Adjunct and visiting faculty.</b>			
Employee	One semester hour per semester hour taught (must be taken within one year from the completion of the course taught) with a three course limit per academic year for initial adjuncts who have taught fewer than 10 courses. No course limit on continuing adjuncts who have taught 10+ courses.		
Spouse/Dependent	No Benefit	No benefit	No Benefit
<b>LEVEL 4 - Tuition Benefit – Regular part-time employees with at least five years seniority.</b>			
Employee	100% Waiver	80% Waiver	50% Waiver
Spouse/Dependent	No Benefit	No Benefit	No Benefit
<b>LEVEL 5 - Tuition Benefit – Faculty who are directed by academic management to obtain a doctoral degree.</b>			
Employee	N/A	N/A	70% Waiver
Spouse/Dependent	No Benefit	No Benefit	No Benefit

In the event of the death of a current regular employee, dependents enrolled at the University at the time will be permitted to continue receiving the tuition reduction at the current benefit level through the attainment of the currently sought-after degree. If the deceased employee had at least 15 years of service at the University the tuition reduction benefit would be available as it exists at the time of enrollment to any dependent children.

This benefit is not applicable for applied music courses (courses with the prefix MUSA), or correspondence study courses. Former eligible employees who have resigned or retired, or who have been terminated, are not eligible for benefits of this policy, except that normal retirees with a minimum of 5 years of service to the University will retain Level 1 benefits. However, any eligible employee on an approved leave, including a disability leave, with or without salary, retains the same eligibility as held immediately prior to going on the leave status. Board of Regents and Concordia University Foundation Board of Directors members are eligible for Level 1 benefits during the term of their service.

The percentage of the grant stated applies only to the undergraduate or graduate Tuition Fee, with all additional charges for course field trips, transportation, laboratory fees, supplies, etc., subject to full assessment and payment by the recipient.

Forms for participation in this program are available in the Human Resources Office. Employees participating in the program for themselves must have all courses taken approved by the Budget Control Officer(s) for the employee's main area of employment. The completed form **MUST** be turned in to Human Resources no later than the last day that a student is eligible to register for the course(s) listed on the form. The form will then be countersigned by the Director of Human Resources (who will verify employment and assign a benefit level) and the Senior Vice President for Academics before final processing by the Office of Student Financial Planning.

#### **1.4.3.3 TUITION REIMBURSEMENT AT OTHER ACCREDITED INSTITUTIONS**

Only regular full-time faculty and staff employees who have completed six months of service, are in good standing and have management prior approval may be reimbursed up to 50% or \$5,250 per calendar year (whichever is less) for graduate or doctoral level classes taken at regionally accredited institutions of higher learning other than Dominican University; however it must be in a program that the University does not currently offer. The reimbursement will only apply to tuition, and only to that amount that is actually the responsibility of the employee. Any amounts funded by another institution, even in the form of a reimbursement, shall be deducted from the total to which the 50% is applied. *Faculty members wishing to pursue a terminal degree must refer to the Faculty Handbook (Section 3) for proper procedures to secure this benefit.* No reimbursement is possible for undergraduate coursework at other institutions.

To be reimbursed, an employee must show proof of completing the term's enrolled course(s) by receiving an academic grade of C or higher, and a copy of the detailed tuition billing statement showing proof of payment in order to receive the tuition payment. The grade(s) must appear on the registered school letterhead or portal website. The University may also require independent verification of the academic progress, credits received, or the payment history on the account to ensure eligibility for the reimbursement. All information will be given to the Director of Human Resources in order for the finance department to process the request and issue a check to the employee. Repeated courses are not eligible for this tuition benefit.

#### **1.4.3.4 DOMINICAN UNIVERSITY ENROLLMENT**

Full time faculty and staff employees of the University and their spouses may be eligible for a 50% discount on graduate courses taken at Dominican University (as identified under the Concordia-Dominican Exchange Agreement). The benefits for this exchange are only available to degree seeking

students in a *bona fide* graduate or doctoral program. The Exchange Agreement allows for Dominican University to extend a 50% discount off the tuition amount only. All other fees and costs must be paid for by the employee.

Regular full-time faculty and staff may be eligible for partial reimbursement of the discounted tuition amounts.

#### **1.4.3.5 LCMS COLLEGES AND UNIVERSITIES TUITION EXCHANGE PROGRAM**

The University participates in the “LCMS Colleges and Universities Tuition Exchange Program” and other programs of the Concordia University System. For details of eligibility for participation and benefits available, consult with the Office of Student Financial Planning.

#### **1.4.4 UNEMPLOYMENT INSURANCE**

The University contributes to the Illinois Department of Employment Security on behalf of eligible employees, as prescribed by Illinois state law. In the event of unemployment, employees may apply for unemployment benefits with the Illinois Department of Employment Security.

#### **1.4.5 WORKERS’ COMPENSATION**

Workers’ compensation benefits are available to all University employees who suffer a work-related injury or work-related illness within the meaning of applicable laws. Injuries incurred in the course of performing regular University duties are typically covered. Workers’ compensation insurance provides medical, rehabilitation, and wage-replacement benefits.

As noted in Accident or Injury, p. 51, all accidents or injuries incurred while performing one’s duties must be reported immediately to the Campus Security Department and the Director of Human Resources. Workmen’s Compensation coverage and Concordia Plans work in conjunction with each other (double benefits are not normally paid out).

#### **1.4.6 WORK-RELATED ABSENCES FROM THE UNIVERSITY**

If absence from the campus relates to travel funded by the University, the employee must receive authorization from the Budget Control Officer before undertaking the travel or incurring the cost of travel arrangements. Failure to gain prior approval for official travel may result in the University not funding the travel.

### **1.5 TIME OFF**

#### **1.5.1 HOLIDAYS**

The University observes the following holidays each year, at which time the University is officially closed:

New Year's Day

Good Friday

Memorial Day

Independence Day

Labor Day

Thanksgiving Day

Friday after Thanksgiving Day

Christmas Eve

Christmas Day

One additional day during Christmas week, determined by Human Resources

When a holiday falls on a Saturday or Sunday, an alternate weekday will be observed as a non-working day. When possible, this day will be chosen to coincide with the federal observance of the holiday.

If a holiday falls on a working day (Monday through Friday) during an employee's vacation period, the employee will not be required to use benefit time for that day. Part-time employees will be paid for holidays based on the number of hours they are normally scheduled to work on that day of the week.

## **1.5.2 LEAVES OF ABSENCE**

### **1.5.2.1 FAMILY AND MEDICAL LEAVE ACT (FMLA)**

Concordia University Chicago is committed to compliance with the Family and Medical Leave Act of 1993 (the "FMLA"). The FMLA allows eligible employees to take up to 12 weeks of job-protected, unpaid leave per year for certain specified reasons, and up to a total of 26 workweeks of leave to care for a family member who is a "covered service member" recovering from injury or illness incurred during active duty military service.

A description of rights and responsibilities under the FMLA is included in Section 4 *Appendix* at the end of this *Handbook*, including a description of the University's specific policies and procedures relating to FMLA leave. These policies are not a contract of employment, are not intended to confer any contractual rights or other legal rights beyond those provided by the FMLA, and do not alter the "at-will" status of any employee.

#### *How an Employee Gets Paid on FMLA*

If the leave is for the employee's own serious health condition, the employee may apply for Short Term Disability Leave, which will run concurrently with FMLA leave **if** the absence is medically certified and



approved by the University's third party administrator, Concordia Plan Services through Liberty Mutual. The employee must satisfy the two week elimination period before short term disability becomes effective.

Accrued Benefit Time can be used for the first two weeks and can be used to supplement disability after that. If there is insufficient accrued time, the non-exempt employee will go on an unpaid basis for the remainder of the two weeks. Once Liberty Mutual approves the short term disability claim, the employee will be paid through Liberty Mutual, not the University, for the length of time the disabled employee will be away from work. When the disability is no longer medically approved, the employee should return to work. In the case of maternity leaves, the female employee/mother may continue the leave through benefit time or go unpaid for the balance of the 12 weeks. Fathers may take time off for paternity leave but will not qualify for disability.

Since faculty do not accrue Benefit Time, FMLA is handled slightly differently. Concordia University Chicago subsidizes the first two weeks of a continuous leave, or elimination period, before disability begins. Faculty should communicate with department chairs for class coverage.

Upon returning from leave, the employee must have a return to work order from his/her physician **before starting work**. The University must know the employee is medically cleared to resume work and be informed of any limitations the employee may have. Generally, the employee returns to the same position with the same benefits and seniority as before the leave.

If an employee is unable to return within the twelve weeks, he is no longer protected under the FMLA and the University may fill the position to meet business needs. When the employee is again able to work, he may apply for any open positions for which he is qualified.

### **1.5.2.2 VICTIMS' ECONOMIC SECURITY AND SAFETY ACT (VESSA)**

The University provides leave to eligible employees under VESSA, which allows up to 12 weeks of unpaid leave (which may be taken on an intermittent or a reduced work schedule) in any 12-month period to any employee who is a victim of domestic or sexual violence or who has a family or household member who is a victim of domestic or sexual violence (provided that the employee is not the person accused of such violence). The information provided in Section 4.3 *Victim's Economic Security and Safety Act (VESSA)* summarizes the provisions of VESSA for convenience, and is not intended to modify the definitions set forth in the law or any applicable regulations, to modify any rights that may exist under VESSA, or to create any right to leave not otherwise required by VESSA.

### **1.5.2.3 VOTING LEAVE**

In general, employees are expected to vote outside of working hours; however, employees will be provided up to two hours of paid time off to vote if the polls open fewer than two hours prior to the employee's starting time, and close fewer than two hours after the end of the employee's work day. Time off to vote must be taken either at the beginning or at the end of the work day.

### **1.5.2.4 JURY DUTY**

As a matter of good citizenship, employees are expected to serve when called upon for jury duty. When an employee receives a summons to serve on a jury, the employee must notify his or her supervisor as soon as possible. When an employee is serves jury duty, his or her full salary will be continued for a period of up to two weeks. Remuneration paid for jury service may be kept by the employee. For jury duty that extends beyond two weeks, individual arrangements will be made by the Director of Human Resources. Jury duty time counts as service towards seniority. Employees are expected to return to their University duties when temporarily excused from attendance at court or when dismissed from jury duty.

#### **1.5.2.5 BEREAVEMENT LEAVE**

Paid bereavement leave (also called “funeral leave” or “compassionate leave”) of up to three days may be granted to an employee for the death of a member of the employee’s immediate family, defined as follows: spouse, child, parent, brother, sister, father-in-law or mother-in-law, sister-in-law or brother-in-law, son-in-law or daughter-in-law, grandchild or grandparent. An employee who wishes to take such leave should consult his or her supervisor.

#### **1.5.2.6 MILITARY LEAVE**

In accordance with applicable law, any employee who is in the Military Reserve or National Guard may request a leave of absence without pay (or use accumulated benefit time) for the purpose of full-time active reserve duty. Any employees who require such leave must notify their supervisors as far in advance as possible.

#### **1.5.2.7 NURSING MOTHERS**

Reasonable unpaid breaks will be provided to employees requiring time during their regular working hours for the purpose of expressing breast milk to nurse a child. Employees are eligible to receive such unpaid breaks for up to 3 years following the birth of a child. Please contact the Human Resources Department with any questions or for more information about this policy.

#### **1.5.2.8 SCHOOL VISITS**

Employees are entitled to eight hours of time off during any school year; however, no more than four hours may be taken on any given day to attend school conferences or classroom activities that cannot be scheduled during non-work hours. Employees may either take benefit time or make up the time within the same workweek with the approval of their supervisor. In order to take the time, employees must provide their supervisor with a written request at least seven days prior to the requested time off. When practicable, 24 hours’ notice is required in emergency situations.

#### **1.5.2.9 WITNESS LEAVE**

The University will provide time off, without pay, to employees who witness a crime if they are required by subpoena to appear at a proceeding relating to the crime.

#### **1.5.2.10 PERSONAL LEAVE**

In situations where benefit time or FMLA time is not available, it may be possible to arrange for limited personal leave through discussion with the Director of Human Resources, in consultation with the unit Vice President.

## **1.6 INFORMATION TECHNOLOGY**

### **1.6.1 INFORMATION TECHNOLOGY AND ELECTRONIC COMMUNICATIONS**

The University provides a variety of information technology (IT) resources to employees to assist them in performing their job duties. These include, but are not limited to, the University's computers, tablets, mobile devices, computer network, "cloud" computing platforms, e-mail system, Internet access, software, storage media and devices, telephones, voicemail, printers, copiers, scanners, and fax machines. All full-time employees are expected to check and respond to email and voicemail messages in a timely manner.

The same policies and principles that apply to employee conduct in general also apply to the use of University-provided and personal IT resources. In addition, please consult the Campus-Wide Information Systems Policy for detailed information regarding the use of email, the University's network, and other University-provided IT resources. In particular, employees must be aware of the following guidelines:

#### **1.6.2 PERSONAL USE**

Use of University-provided IT resources during normal business hours should be limited to work-related matters. Use of University-provided IT resources to access sexually graphic or otherwise offensive or indecent materials is absolutely prohibited. Personal use of the Internet and other IT resources during business hours must be kept to a minimum and must not interfere with an employee's job duties. Similarly, employees are expected to limit their personal use of University telephones.

#### **1.6.3 PERSONAL EQUIPMENT ON CAMPUS**

From time to time, employees might bring valuable personal equipment or items to the campus for use in their work responsibilities. The University assumes no responsibility for the theft, damage, or maintenance of such equipment or items. Any piece of equipment or item over \$500 in value must be declared with Human Resources and documented in the personnel file.

#### **1.6.4 COPYRIGHT AND LAWFUL USE**

All employees' use of the University's IT resources must comply with applicable law, including (but not limited to) copyright law. In particular, employees are expected to observe copyright or license agreements, and refrain from the unlicensed exchange of copyrighted materials. Employees' use of the University's IT resources must also comply with all other University policies.

#### **1.6.5 PRIVACY AND INTELLECTUAL PROPERTY**

By using the University's IT resources, the employee acknowledges and agrees that the University may monitor all use of its IT resources and has the right to access, use, record, store, transfer, disseminate, delete, and dispose of any data or communications sent, received, accessed, viewed, or stored using any of its IT resources, the full extent allowed by applicable law and in accordance with applicable University policies. It is the expectation of the University that its IT resources furnished to employees in connection with their employment duties will be used for official University business; accordingly, all communications and data generated are University property with no expectation of privacy. Please refer to the portal for the Intellectual Property Policy of Concordia University Chicago for specifics on certain rights to materials generated outside of work by faculty and staff.

## **1.6.6 SOCIAL MEDIA POLICY**

The University supports the use of social media by its community members as a way to facilitate communication and disseminate information. To promote responsible use of social media to engage with students, employees, and other campus constituencies, the University has developed policies and best practices for professional and personal use of social media platforms. Social media is defined as media designed to be disseminated through social interaction, created using accessible and scalable publishing techniques. Examples include but are not limited to:

Social networking sites—Facebook, LinkedIn, Google+, Pinterest

Video and photo sharing websites—Flickr, YouTube, Instagram

Blogs

Micro-blogging—Twitter

Wikis and online collaborations

Forums, discussion boards and groups—Google groups

Podcasting

Online multiplayer gaming platforms—Second Life

Instant messaging, including SMS

Geo-spatial tagging—Foursquare

All members of the University community, including its colleges, departments, programs, groups, organizations, individuals and vendors retained on behalf any University college/department that engage in social media are to follow the same responsible behavior standards online as they would in established media (e.g. face-to-face conversations, written letters, phone calls).

The same laws, professional expectations and guidelines for interacting with students, parents, alumni, donors, media and other University constituents apply online as in the real world. When using social media, members of the University community and those acting on behalf of the University community are

expected to act with honesty, integrity, and respect for the rights, privileges, privacy, sensibilities and property of others.

Individuals must also recognize the potential for damage to the University's reputation and educational mission that may develop from social media postings, whether posted in a professional/ personal capacity or on behalf of the University. Those engaging in social media for any purpose are responsible for their posts to social media sites. Keep in mind that any conduct that adversely affects faculty, staff, students, or the University's legitimate educational interests may result in disciplinary action or termination.

As with any other use of the University's network, the use of computing and network resources to engage with social media platforms is subject to the privacy statement within the Concordia Network Policy. As explained in more detail in that policy, while the University does not generally monitor or limit content of information transmitted on the University network, it reserves the right to access and review such information under certain circumstances.

#### Social Media Guidelines:

The purpose of using social media on behalf of the University is to support the University's mission, goals, programs and efforts through sharing University news, information and content, as well as other directives. Postings on social media platforms can remain accessible to various search engines for years. Avoid postings influenced by impulse or emotion.

Confidential or propriety information belonging to the University or to third parties, who have shared information with individuals on behalf of the University, cannot be shared on any social media outlets. Individuals must follow the applicable federal laws, including FERPA and HIPAA as well as NCAA regulations. Be mindful of and adhere to all applicable privacy and confidentiality policies as stated in this Handbook as well as the Student Code of Conduct.

It is prohibited to use copyrighted material and/or intellectual property without properly crediting the source or receiving permission prior to use as stated in the University Intellectual Property Policy, the student Honor Code and this Handbook.

Please contact University Communications and Marketing Services for guidelines on the use of Concordia University Chicago trademarks, logos and/or branding. Concordia University Chicago trademarks, logos and/or branding may not be used for commercial purposes without permission. Concordia University Chicago's trademarks, logos, and/or branding may not be used by political organizations or in political campaigns. Concordia University Chicago's trademarks, logos, and/or branding also may not be used in a way that implies endorsement by the University without permission.

University employees are encouraged to identify themselves as faculty/staff on social media postings that are related to work or subjects associated with the University. Individuals doing so on platforms not sponsored by the University should:

Clarify that they are sharing personal views and

Use the disclaimer, *"The postings on this site are my own and do not represent the positions, strategies, or opinions of Concordia University Chicago."*

Any individual may create, manage and/or contribute to social media content on personal sites independently of the University, and may identify himself or herself as a University student, faculty member or staff. The University will not monitor personal social media presences, but the University will address issues that arise regarding personal content in accordance with these policies.

The University Honor Code and Student Code of Conduct govern students posting as individuals or on behalf of the University.

Acceptable content on social media sites that are not operated by the University may be positive or negative in context, regardless of whether it is favorable or unfavorable to the University. The University discourages statements, photographs, video, or audio that reasonably could be viewed as malicious, obscene, threatening, or intimidating, that infringe on intellectual property rights, that defame faculty, staff, or students, or that might constitute harassment or bullying. Examples of such conduct might include offensive posts meant to intentionally harm someone's reputation or posts that could contribute to a hostile work environment on the basis of race, sex, disability, or any other status protected by law or University policy.

Strive for accuracy in all social media postings. Confirm the validity of information before posting and review content for grammatical and spelling errors. This is especially important if posting on behalf of the University.

Be aware that a presence in the social media world can easily be made available to the public at large. This includes prospective and current students, parents, alumni, employees and colleagues.

Prior to engaging in any University-sponsored form of social media representing the University, individuals must receive approval from their supervisor as appointed by the department head and approval from University Communications and Marketing Services (UCMS) to ensure brand and message consistency. UCMS will assist with communication plan(s) and medium-related education.

All official Concordia University Chicago sponsored pages and/or accounts must be created by using a University department, staff, or faculty email account. If a department or individual wishes to have a separate email account just for social media sites, contact CougarNet at (708) 209-3131 or [CougarNet@CUChicago.edu](mailto:CougarNet@CUChicago.edu).

Any existing sites or platforms hosted or sponsored by Concordia University Chicago are reviewed routinely, and the University shall have the right to remove, at its sole discretion, any content that it considers to violate these policy statements.

## **1.7 SAFETY AND EMERGENCY INFORMATION**

### **1.7.1 ANNUAL SECURITY REPORT**

The safety and security of all members of the campus community is of vital concern to the University. Information regarding crime prevention, the law enforcement authority of the Campus Security Department, policies concerning crime reporting, and campus crime statistics for the most recent three-year period is available in the University's Annual Security Report. The report may be found on the Internet at [http://www.cuchicago.edu/student\\_life/annual\\_security\\_report.pdf](http://www.cuchicago.edu/student_life/annual_security_report.pdf). One may obtain a hard

copy of the Annual Security Report in person at the University Switchboard in Addison Hall, or by written request to Concordia University Chicago Campus Security Department, Box 4A, 7400 Augusta Street, River Forest, IL 60305.

## **1.7.2 DRUG-FREE WORKPLACE**

The University does not condone the illegal use of any controlled substance. No employee may use, possess, manufacture, distribute, sell, purchase, or be under the influence of illegal drugs while on the University's premises (including University-owned or leased vehicles), or while conducting business for the University. Employees must also comply with all applicable laws prohibiting the use and possession of drugs, generally. Should any employee (faculty, staff, or student) violate this policy, such employee is subject to disciplinary action, up to and including termination.

The University may require employees to submit to a substance abuse screen where:

- The University has reasonable suspicion that the employee is under the influence of drugs or alcohol.
- The employee has tested positive for the presence of drugs or alcohol within the prior twelve (12) month period.
- The employee is recalled or returning to work following an extended leave of absence.
- The employee has a physical accident during work hours.

If the substance abuse screen reveals a positive result, the test will be verified through a second test. Employees found to have a second positive test result will be subject to disciplinary action, up to and including termination. Employees who refuse to take the substance abuse screen or to sign required consent forms will be regarded as having violated University policy and will be subject to disciplinary action, up to and including termination.

Concordia University is committed to maintaining confidentiality with respect to testing and results and limits access to such information to personnel with a need to know. Please be advised, however, that test results may be used in arbitrations, administrative proceedings, and court cases to which they may be relevant. All drug and alcohol tests are conducted in a manner that complies with relevant federal, state, and local laws.

"Illegal drugs" are those drugs or controlled substances, the possession of which is unlawful under federal state, or local law. "Illegal drugs" also includes prescription drugs for which the employee does not have a valid prescription or that are used in a manner inconsistent with prescription directions.

As a condition of employment, each employee is required to abide by the terms of this Section, and notify the Director of Human Resources of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction. Any employee so convicted shall be subject to appropriate personnel disciplinary action, up to and including termination, or, shall be required to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

### 1.7.3 WORKPLACE VIOLENCE

Concordia University Chicago will not tolerate any acts or threats of violence in the workplace, classroom, at social or business functions sponsored by the University (regardless of location), or while any individual is engaged in business with or on behalf of the University. Any person who receives or becomes aware of any threatening communications from an employee, student, or other person is required to report it to his or her supervisor or to the Director of Human Resources immediately. Do not engage in either physical or verbal confrontation with a potentially violent individual. If an individual is threatening immediate harm to a member of the University, call 911 immediately.

Furthermore, the University prohibits all persons from carrying a handgun, firearm, chemical, explosive, or detonating device or other weapon on kind on campus, regardless of whether the person is licensed to carry the weapon. The only exception to this prohibition will be for police officers, security guards, or other persons who have been given written consent by the University to carry a weapon, and individuals who are required to carry a weapon pursuant to state law.

Workplace violence includes, but is not limited to:

Threats of any kind;

Threatening, physically aggressive, or violent behavior;

Defacing University property or causing physical damage to the facilities; or

With the exception security personnel as noted above, bringing weapons, ammunition, explosives, or firearms of any kind on University premises or while conducting University business.

Employees must report any suspected or actual violations of this policy to a supervisor or the Human Resources Department immediately, and are expected to cooperate in the University's investigation of any suspected or actual incidents of workplace violence. The University will not retaliate, and will not tolerate retaliation against any employee who in good faith reports a violation of this policy.

Concordia University Chicago maintains that the safety and protection of students and employees is one of our greatest concerns. Therefore, every employee is responsible for working cooperatively with the Director of Public Safety and the Dean of Administration to eliminate unsafe conditions that can cause unnecessary injuries and accidents. It is also the responsibility of all employees to follow federal, state, and local standards, and for supervisors to stay current on these standards, to communicate them to their staff, and to enforce them.

Concordia University Chicago complies with the federal Occupational Safety and Health Act of 1970 (OSHA) regulations. **Safety is a priority at the University.** Every effort is made to keep work areas safe and free from hazards. Supervisors are to assist employees with safety and health requirements. Employees are expected to observe all applicable safety requirements, and to immediately report any unsafe or hazardous condition to the appropriate supervisor.

### 1.7.4 UNSCHEDULED CLOSINGS



Employees are encouraged to enroll in the Emergency Communication System to receive emergency information through personal cellular telephones via text and voice messages. Please look for instructions on the portal. Employees can receive updated information on University services closings, activity cancellations, or program cancellations, as well as instructions on expectations for reporting to work, by dialing 708/488-4103 at any time. If the service is busy, redial. The university also sends closing information via email to all employees.

The University may determine that it must close, cancel, reschedule, or suspend certain classes or services due to weather conditions or other circumstances. The University will also use the broadcast media's Emergency Closing Center Information to announce emergency and unscheduled closings.

The campus is never completely shut down. Some functions have 24/7/365 operations: Physical Plant, Public Safety, Residence Life and Sodexo.

In addition, the following University services are considered essential services and will likely need to be open:

Early Childhood Programs (may be closed if announced before first daily arrivals, otherwise only after last client has been returned to parent or guardian of record)

Finance, Business Services

Registrar

Undergraduate - Academic Advising, Admissions, Student Services

Graduate - Admissions and Student Services

IT - User Services, Infrastructure, Applications

The University distinguishes among the following types of unscheduled closings and interruption of announced schedules:

#### **1.7.4.1 CANCELLATION OF CLASSES**

##### **River Forest Main Campus**

Generally, the University cancels classes on the River Forest campus only when weather conditions strongly indicate this action, or it is impossible to hold classes due to failure of certain facility requirements for part or all of the campus (e.g., heavy snow, extreme cold, flooding, electrical failure, heat or air conditioning failure, water failure, storm damage, earthquake, etc.).

##### **Off-Campus and Extension Sites**

Generally, off-campus and extension site classes will be cancelled only when weather conditions strongly indicate this action for that local area, or it is impossible to hold classes due to closing of the facility by the owner or operator.

### **1.7.4.2 TIMING OF NOTIFICATION**

Whenever possible the University will make a determination on an unscheduled closing at least **two hours before** the class or event and begin the notification process immediately upon making the decision. Most likely this notification will take effect for 8:00 a.m. and 6:00 p.m. classes, but could be implemented for any class period or event on either the main campus or at an off-campus site.

#### **1.7.4.2.1 ROLE OF BUDGET CONTROL OFFICERS**

Budget Control Officers shall be responsible to implement any actions undertaken under implementation of this procedure in their area of responsibility to the extent that they (or their representative) are able, to care for students, employees, and campus guests, and to ensure minimization of the effects of the disruption of normal scheduled services. Individual issues and problems incurred should be resolved through consultation with appropriate staff officers, including consultation with the Dean of Students for student matters, the Vice President for Academics for faculty matters, and the Vice President for Administration for staff or student employee matters, or operational issues. Issues affecting third parties utilizing the University should consult with the Vice President for Administration.

The management of Koehneke Community Center will coordinate closing and curtailment of service activities with any outside groups or organizations scheduled to be utilizing campus facilities and related services.

#### **1.7.4.2.2 ENVIRONMENTAL CONDITIONS**

If environmental conditions in a building or work are inappropriate for members of the campus community to perform their normally assigned tasks (such as lack of heat or water, chemical spills, emergency asbestos abatement), the head of the department should report this condition to the Dean of Administration and with his/her approval, and in consultation with the Vice President for Administration, staff will be excused if no other alternative is practical.

Other work alternatives will be considered by the University, such as:

Arranging for use of another building

Rescheduling work for a Saturday

Allowing employees to take work home

If these alternatives are not possible, staff employees may be excused with pay. These absences would be only for those who reported for work at the time the decision was made.

When it can be determined in advance that a department or work area will be temporarily closed down or facilities or equipment for work cannot be provided and employees are notified, the above policy is not applicable. Alternatives will be considered. If advance arrangements cannot be made, staff employees will be given at least one week prior notice that they will be placed in a non-working status without pay. Employees may be paid for their accumulated benefit time before being placed in a non-working status without pay.

## **1.7.5 EMERGENCY PROCEDURES**

### **1.7.5.1 ACCIDENT OR INJURY**

An employee who believes that he or she has suffered a work-related injury must notify his or her supervisor as soon as possible. The supervisor will assist the employee in filing a report with Campus Security describing the emergency and location to the Security Dispatcher. The employee's supervisor should also notify the Human Resources Office of the situation.

The Dispatcher will arrange for immediate assistance from the River Forest Fire Department, as necessary. Security will notify the Director of Human Resources of the incident. The Director of Human Resources will complete a "First Report of Injury," and is available to answer questions and to assist employees with seeking medical attention. The Human Resources Office will notify family members.

### **1.7.5.2 EMERGENCY GUIDE**

There is an *Emergency Guide* in every classroom and office. Be familiar with and follow the procedures in this guide for the various circumstances that it covers.

## **1.7.6 CAMPUS SMOKE-FREE POLICY**

All Concordia University Chicago buildings are smoke-free. Currently, smoking is only permitted in outdoor areas on the campus. Smoking is also prohibited in all University-owned fleet vehicles.

## **1.7.7 ALCOHOL POLICY**

The possession of or the consumption of alcohol on the campus or reporting to work under the influence of alcohol is a violation of institutional policy and is absolutely forbidden. Disciplinary action, up to and including discharge, may result from infringement of this policy. This policy does NOT apply to wine used for sacramental purposes, nor to alcoholic beverages served at University-sponsored functions or by the University food service providers. However, those who choose to consume alcoholic beverages should be of legal age and should do so in moderation and should ensure that such consumption will not affect their job performance or the safety of themselves or others (e.g., avoid consumption before operation of heavy or dangerous equipment, driving, et cetera).

## **1.7.8 BLOOD-BORNE PATHOGENS**

Current medical evidence indicates that the actual safety risks created for the transmission of the Hepatitis B (HBV) or HIV (AIDS) viruses are low in the University's normal academic and employment setting. Any employee (including student workers), who may be exposed to bodily fluids in the course of employment duties will be given protective wear in order to minimize the risk of transmission of communicable disease. The University will make available the Hepatitis B vaccination series to all employees who have been identified as having the potential for occupational exposure, and will otherwise comply with applicable OSHA standards.

### **1.7.9 EMPLOYEE RIGHT-TO-KNOW LAWS: HAZARDOUS MATERIALS**

In the interest of University employees and students, the University shall comply with the requirements of the Federal Hazard Communication Standard (HCS). Any known variations from the HCS shall be reported to the Assistant Vice President for Administration for information and resolution.

- a. All purchase orders or contracts for delivery of HCS materials must contain the requirement that the materials shall remain the property of others until Material Safety Data Sheets (MSDS) sheets are received by the Purchasing Department.

All contracts for services to be performed by others on the campus or in the presence of any University employee shall require that such contractors have at the location of the work-site, the required MSDS sheets for any HCS materials utilized in connection with the performance of the contract. Failure to conform to this requirement shall provide the option for the University to determine the contract to be null and void immediately.

- b. All organizations renting space from the University through an agreement on a regular basis shall be required to fully comply with this policy for the on-campus facilities and operations. They shall specifically be required to conform to the same requirements as Budget Control Officers of the University, including the filing of materials and information with the University's Director of Operations. Organizations using campus conference facilities are also required to comply with this policy and the associated procedures. Each event shall be evaluated on the specific circumstances of the event for method of compliance. Contracts shall state the requirement of complying with HCS and the University policy and procedures governing the Act.
- c. Such HCS materials shall not be used in any public area, including a classroom or laboratory or studio, without prior consultation with the Director of Operations.
- d. Students shall not be permitted to bring HCS products to laboratories, studios, classrooms, and other group work or learning stations unless:

The product was provided by the instructor or laboratory assistant;

Previous arrangements were made with the instructor and the Director of Operations, and an MSDS is included in the official classroom MSDS binder and the master campus MSDS binder.

The University's policy and procedures adopted for compliance with the "Emergency Planning and Community Right-to-Know Act" are placed under the general direction of the Vice President for Administration, with substantial delegation of implementing portions of the requirements made specifically to the Dean of Administration. The Dean of Administration may be contacted for information pertaining to institutional procedures complying with this Act.

### **1.7.10 SECURITY ESCORT**

Security escorts are intended to create a safer walking environment for members of the campus community who are traveling to and from a parking area, residence hall, campus building, or off-campus

housing units. Use of this service is highly recommended for people feeling uncomfortable walking alone to any of the above destinations. A security escort can be obtained by calling 708-209-3039 for the Campus Operator and someone will be dispatched when available.

## **2 STAFF HANDBOOK SECTION**

### **2.1 EMPLOYMENT OUTSIDE CONCORDIA UNIVERSITY CHICAGO**

The University expects all of its full-time employees to devote their full time and effort to their employment with the University. Therefore, full-time employees are not permitted to hold employment outside the University, barring a demonstrated extraordinary need or purpose. An employee who wishes to obtain outside employment must submit a written request to the Human Resources department, which will determine in consultation with the employee's supervisor whether the outside employment is permissible. If an employee's outside employment presents an actual or potential conflict of interest or otherwise interferes with his or her work for the University at any time, the employee may be required to discontinue his or her outside employment as a condition of remaining employed with the University. Exceptions must be approved by the University President.

### **2.2 TIMESHEETS**

All staff employees are required to submit an electronic timesheet for each pay period. Exempt personnel should log any time away from work (benefit time, jury duty, illness, FMLA) but not regular hours. Non-exempt personnel should record actual hours worked each day. Both the employee and the employee's supervisor must sign the timesheet record. Failure to report time off or falsifying a time sheet is considered a serious violation of organizational policy and shall be subject to discipline and/or termination of employment.

### **2.3 OVERTIME**

It is sometimes necessary for non-exempt employees to work beyond their normal work schedule on a given day or week. Although the University will attempt to fill overtime needs on a voluntary basis, any employee may be required to work overtime when the need arises. Non-exempt employees will be paid one and one-half times their regular rate of hourly pay for all hours worked in excess of 40 per week. Employees may not work overtime hours unless specifically authorized in advance by their supervisor or manager. Paid time off is not considered "hours worked" for purposes of calculating overtime pay for a particular week.

Failure to report for overtime duty, whether volunteered or assigned by the University, will be considered under the University's attendance policy in the same manner as an absence that occurs during regular working hours. Failure to work scheduled overtime or overtime worked without prior authorization from a manager or supervisor may result in disciplinary action, up to and including termination.

### **2.4 PERFORMANCE MANAGEMENT**

#### **2.4.1 INITIAL REVIEW PERIOD**

The first 90 days of continuous employment at the University are considered to be a probationary period. The employee's supervisor will monitor the employee's performance closely during the probationary period. At the end of the 90-day period, the employee's supervisor will conduct an

Initial Review Period evaluation. Completion of the probationary period does not entitle the new employee to work for the University for any definite period of time, and no salary increase is connected to the employee's Initial Review.

## **2.4.2 ANNUAL EVALUATIONS**

Each staff employee is evaluated at least once per year by his or her supervisor(s). The employee will complete an *Employee Self-Assessment and Development Plan* based on the job description and the employee's evaluation of his performance during the review period. This will be submitted to the supervisor. The supervisor will complete the *Annual Staff Performance Appraisal* for the employee and review it with the supervisor's manager. Once approved the supervisor will schedule the annual review meeting with the employee and discuss the review and professional development plan. All original documents will be sent to Human Resources to be placed in the employee's personnel file.

## **2.4.3 DISCIPLINARY ACTIONS**

When an employee's performance or conduct does not meet the University's expectations, the following disciplinary options will be used. There is no formal progressive disciplinary process. The primary purpose of these guidelines is to assist employees in improving their performance. Disciplinary action (such as a verbal warning, a written warning, suspension, termination) will be tailored to the situation, depending on the severity of the offense and the past disciplinary history of the employee. Even a single offense, if sufficiently serious, can warrant more severe discipline, up to and including termination.

## **2.5. ATTENDANCE AND ABSENCES**

This policy applies to all forms of time off for any reason, including paid sick days, vacation, and unpaid leave, including but not limited to FMLA leave. For further information regarding FMLA leave, please see p. 40 or the Appendix, p. 56. Failure to comply with this policy or to provide documentation or information requested by the University may result in delay or denial or requested time off, and/or discipline up to and including termination of employment.

A staff member who wishes to request time off should consult his or her supervisor as far in advance as possible. If the time off request is approved, the employee should submit a Benefit Request Form, signed by the supervisor, to the Payroll Section, Finance Department, at least one day in advance of the approved time off.

If an employee is unable to report to work or will be tardy, the employee is required to call and notify his or her supervisor in advance of tardiness or absence and, if applicable, submit a Benefit Request Form to the Payroll Section, Finance Department. If unable to notify the University of the need for time off in advance, the employee must call your supervisor as soon as practicable. If are unable to contact the supervisor directly, it is the employee's responsibility to have someone else notify the supervisor as soon as possible. Employees must follow this procedure *each day of the absence* unless absence for that day has been scheduled and approved in advance. If necessary, the Human Resources Department will contact the employee to request additional information or documentation regarding the absence.

When reporting absence for a reason that may qualify for leave under the Family and Medical Leave Act or any other law providing protected leave rights, it is the employee's responsibility to provide the Human Resources Department with sufficient information to determine whether the time off is protected by any applicable law. Calling in without providing further information is not acceptable.

Although employees are required to notify the University as soon as possible if they will be absent, tardy, or leaving early, please understand that providing such notice does not mean that the request for time off will be approved or that the employee will avoid discipline for the incident. The University reserves its right to deny requests for time off in its sole discretion, except as required by applicable law.

Before returning to work, team members who are absent from work due to injury or illness may be required to submit a certification from a health care provider confirming that they are able to safely resume performing the essential functions of their jobs (with or without a reasonable accommodation, when required by applicable law). Such a certification will generally be required for any such absence of three or more consecutive work days, and for any other absence that gives rise to a reasonable concern regarding the team member's ability to safely perform his or her job duties.

Failure to either return to work from an approved absence as scheduled or to request and obtain an extension of an approved leave may result in discipline up to and including termination of employment.

Any staff member who misses work for three or more consecutive work days without contacting the University as required by this policy may be regarded as having voluntarily resigned his or her employment.

## **2.6 BENEFIT TIME**

Except for the following positions, each regular exempt and non-exempt staff member accrues Benefit Time:

President

Vice Presidents

Campus Pastor

Athletic Coaches and Assistant Coaches

Residence Hall Directors

Sports Information Director

Athletic Trainers

Director of (Piano) Music Programs and Piano Teachers

The benefit time accrued by employees is based upon the following schedule. "Year" corresponds to the employee's anniversary date and not the calendar year. Accumulation of benefit time is shown in



HOURS on the payroll “stub.” Benefit time is to be used by employees for vacation, personal, illness, and any other absences not otherwise identified in this Handbook. Non-exempt employees may elect to use accumulated benefit time in one-hour increments. Exempt employees are permitted to use accumulated benefit time only in full-day increments.

**Employees may not “cash in” accrued Benefit Time, except to the extent required by law at the time of termination.**

The schedule below outlines the accrual rates based on service years:

Year	Accrual (%)	Accrual in Hours per biweekly pay period
1, 2, 3	7.06	5.64 hrs. per pay period or 18.5 days annually
4	7.54	6.03 hrs. per pay period or 19.75 days annually
5	8.02	6.42 hrs. per pay period or 21.00 days annually
6	8.49	6.79 hrs. per pay period or 22.25 days annually
7	8.97	7.18 hrs. per pay period or 23.50 days annually
8	9.24	7.39 hrs. per pay period or 24.02 days annually
9	9.51	7.61 hrs. per pay period or 24.73 days annually
10	9.79	7.83 hrs. per pay period or 25.45 days annually
11	10.06	8.05 hrs. per pay period or 26.12 days annually
12	10.33	8.26 hrs. per pay period or 26.85 days annually
13	10.61	8.49 hrs. per pay period or 27.59 days annually
14+	10.88	8.70 hrs. per pay period or 28.28 days annually

Benefit Time for employees who are regularly scheduled to work fewer than forty hours per week will be calculated proportionately to those hours.

As discussed above, employees classified as “exempt” *must* complete an Attendance Record for any taken Benefit Time. All exempt employees shall receive this benefit accrual based on each regular or compensatory day of service which shall include a Benefit Day, serving on jury duty, or absent for a bereavement leave identified in this Handbook. All non-exempt employees shall accrue this benefit based on all regular time worked, on a Benefit Day, serving on jury duty, or absence due to bereavement leave as identified in this Handbook. Employees classified as “temporary” are not eligible for Benefit Time accrual.

The University encourages all employees to use earned Benefit Time. The maximum benefit time that may be carried over from year to year is 176 hours for full-time employees, and a proportionate amount for employees who are regularly scheduled to work fewer than forty hours per week. Any benefit time in excess of the maximum amount that is not used by the end of the fiscal year is forfeited. The University’s fiscal year begins July 1. Pay in lieu of benefit time is not permitted, except to the extent required by law at the time of termination. Upon termination of employment, only the unused vested balance may be paid out to employees

Employees may wish to maintain the equivalent of approximately ten “work days” of accrued Benefit Time to allow for continuous payment from the time of any sickness or disability until the time (presently fourteen calendar days later) when Concordia Disability and Survivor Plan payments begin accruing for the covered employee.

Since the work load of different areas may vary at different times of the year, vacation periods must have the individual supervisor’s approval. In case of any conflict of desired time among employees, the University will take into account factors including seniority, the current and projected business of the University, and the order in which the requests were received. An exception is made between December 23 and January 2 (or 3<sup>rd</sup>), where a supervisor shall attempt to rotate seniority privileges for requested Benefit Days during this period.

No temporary employment shall count toward seniority. Regular part-time employment shall count proportionate to the percentage of full-time worked each year in determining the amount of benefit time earned, but seniority will be determined on the same basis as used for full-time employees.

Separate departmental time-off policies, approved by the Director of Human Resources, shall exist covering time off for the following positions:

Campus Pastor

Athletic Coaches and Assistant Coaches

Residence Hall Directors

Sports Information Director

Athletic Trainers

Director of (Piano) Music Programs and Piano Teachers

These policies shall not provide for the accrual of time off.

At the pleasure of the President, up to 29 days of additional compensation may be paid to the Vice Presidents or the Campus Pastor at employment termination, although such payment, or the amount of the payment, is not a vested benefit.

## **2.7 JOB OPPORTUNITIES, TRANSFERS AND PROMOTIONS**

Current employees are eligible to apply for open positions for which they are qualified, with or without reasonable accommodation. The University encourages promotions or transfers from within for open positions. Job opportunities available are posted on the portal and on the bulletin board outside of HR. Employees wishing to apply should have a least one year of service in their present positions. To apply for an internal posting, the employee must submit a current resume and letter of application to Human Resources within five business days of the posting date. Please note, however, that the University reserves the right to hire from outside where appropriate.

To apply for a position, a current employee must submit a cover letter and resume to the Human Resources Office. Current job performance and applicable job skills are significant factors in establishing candidacy for other positions at the University. If an employee is determined to be qualified for the position, an interview is scheduled with the hiring supervisor. At this time, the employee must notify his or her current supervisor that he or she has applied for another position on campus. If an employee is hired for the position, the two supervisors and HR will work out a mutually agreeable transfer date before beginning the new position.

Promotions or transfers are made on the basis of performance in the employee's present position, the acceptance of responsibility, demonstrated initiative and the needs of the University.

Individuals who are hired, promoted or transferred to another position within the University should expect to remain in the new position for a minimum of one year.

## **2.8 EMPLOYEE SERVICE ON UNIVERSITY COMMITTEES**

Employees may be invited to serve on University committees on a voluntary basis throughout the academic year. While participation in committee service is valued and appreciated, employees are still expected to perform their regular duties.

## **2.9 STAFF COUNCIL**

The Staff Council meets monthly and is composed of twelve staff members, of which six are elected by the staff and six appointed by the University President. The Director of Human Resources serves as an advisor to the Council and acts as a liaison between the Administration and the Council. The Staff Council's main focus is to present issues to the Administration on behalf of the Staff and to review new ideas and issues presented by the Administration. The Council also sponsors staff forums and other social activities.

## **2.10 SEPARATION FROM THE UNIVERSITY**

### **2.10.1 EMPLOYMENT AT WILL**

Unless otherwise stated in a written employment contract that is signed by authorized University officials, University staff members are employed "at will," and employment may be terminated by either the employee or the University at any time, with or without cause or notice.

### **2.10.2 VOLUNTARY – RESIGNATION**

If a staff member chooses to leave his or her employment with the University, the University requests that the staff member provide at least two weeks' advance, written notice. Employees should submit their notice to the Director of Human Resources.

### **2.10.3 VOLUNTARY – RETIREMENT**

A staff member may choose to retire at any time after age 55, provided he or she qualifies under both applicable law and Concordia Retirement Plans. Staff members who are considering retirement are encouraged to contact the Director of Human Resources, who is available to assist the staff member in making the transition to retirement without interruption in pension payments or medical benefits, for example, by initiating contacts with the Social Security Administration and Concordia Retirement Plans (CRP).

It is the policy of the University to give a cash benefit to retiring regular, full-time staff employees as follows:

At least 5 years and up to 15 years	½ month's salary at time of CRP retirement
16 through 20 years University service	1 month's salary at time of CRP retirement
21 through 25 years University service	2 month's salary at time of CRP retirement
26 through 30 years University service	3 month's salary at time of CRP retirement
Over 30 years University service	4 month's salary at time of CRP retirement

#### **2.10.4 INVOLUNTARY – RELEASE**

When the University initiates a termination of an at-will employee, the employee's supervisor will consult in advance with the Director of Human Resources to provide the reason(s) for the termination. If the termination is due to a change in institutional policy or program rather than the employee's performance or conduct, the Director of Human Resources should be alerted as early as possible and will determine whether alternative placement is appropriate.

### 3 FACULTY POLICY HANDBOOK

#### 3.0 OFFICIAL UNIVERSITY *FACULTY HANDBOOK* DISCLAIMER

The Concordia University Chicago *Faculty Handbook* contains statements of policies, procedures, and select information, some of which are interrelated. Therefore, certain sections should not be read out of context. While this *Handbook* is formatted for convenient printing, the on-line *Faculty Handbook* is the official version and it should not be assumed that any other copies of the *Faculty Handbook* are current.

The University is an institution of The Lutheran Church—Missouri Synod (the “Synod”), and as such is governed by certain policies of the Synod and its Concordia University System in effect from time to time; such policies are deemed automatically incorporated herein by reference whether or not expressly stated. See, generally, Section 1.6, “Hierarchy of Sources.” This *Faculty Handbook* is believed to conform with all applicable policies presently in force, but in the event of any conflict between this *Faculty Handbook* and any such policies (or revisions thereto) that by their terms are binding upon the University, such policies shall govern.

This document is designed to be primarily used interactively with active hyperlinks for additional reference materials and information. The printed format is provided for those instances where use of an interactive copy is not feasible.

This document is available at:

[http://blackboard.cuchicago.edu/bbcswebdav/orgs/CUC-FS-Handbook/public/Faculty\\_Handbook\\_July\\_2014.docx](http://blackboard.cuchicago.edu/bbcswebdav/orgs/CUC-FS-Handbook/public/Faculty_Handbook_July_2014.docx)

#### INTRODUCTION:

This edition of the revision of the *Concordia University Chicago Faculty Handbook* has been adopted in principle by the Board of Regents, subject to legal counsel review, upon release and recommendation by the Senior Vice President for Academics.

#### SPECIAL NOTE:

At the time of releasing this revision of the *Concordia University Chicago Faculty Handbook*, the relative committees of the Synod were in the process of moving from the *2010 LCMS Handbook* to the new edition required by the changes adopted in Convention in July, 2013. These changes will be reflected in the *2013 LCMS Handbook*, released in early calendar year 2014.

Due to this circumstance the existing and proposed sections of this *Handbook* which are under the jurisdiction of the Faculty, administration, or Regents are contained with this font.

Those sections which are mandated from the Synod are contained in this font.

**Those sections that were formerly mandated by the Synod but, due to the changes made by the Synod in July, 2013, are now the prerogative of the University, are contained in this font. These sections are now University policy until they are changed by the Regents, administrators, or Faculty.**

Near the conclusion of the final editing of this Revision of this *Handbook* the University was notified of a release of the revised *Concordia University System Institutional Policy Manual* (2013-09-03). This

*Faculty Handbook* has not been brought into full compliance with the newest document. It is believed that the *Handbook* is in full compliance with the previous issue (2011-02-19) of the Concordia University System document. Note, however, that any updated policies are deemed automatically incorporated herein by reference whether or not expressly stated, and in the event of any conflict between this *Faculty Handbook* and any such policies (or revisions thereto) that by their terms are binding upon the University, such policies shall govern. See, generally, Section 1.6, “[Hierarchy of Sources](#).”

### **3.0.3 PREFACE**

### **3.0.4 ACKNOWLEDGEMENT**

This edition of the *Faculty Handbook* was developed through the joint efforts of the Faculty Handbook Task Force under the direction of Dr. Reineck, Senior Vice President for Academics. Records were searched with the assistance of the Deans of the four colleges. Appropriate administrators were consulted as to the completeness, adequacy, and accuracy of the sections that are determined administratively. If anyone detects any omissions, errors, or lag in inclusion of the latest version of a policy or procedure, please contact Senior Vice President Reineck, who will consult with the Faculty Handbook Task Force or appropriate administrator to determine and implement resolution or correction of the perceived issue. The Task Force thanks such persons in advance for such alerts.

### **3.0.5 ROLE AND STATUS OF FACULTY HANDBOOK**

The *Concordia University Chicago Faculty Handbook* contains statements of policies, procedures, and select information, some of which are interrelated, and all of which are subject to change from time to time without prior notice. When a change is made it normally cannot be applied retroactively. Therefore, certain sections should not be read out of context. The on-line *Faculty Handbook* is the official version and it should not be assumed that any other copies of the *Faculty Handbook* are current.

The *Faculty Handbook* serves the following general purposes, in light of the statement above:

1. To serve as a manual for orientation for new Faculty.
2. To serve as an official and organized compendium of those policies and procedures of the Faculty, its committees, the Board of Regents, the Concordia University System, and The Lutheran Church—Missouri Synod, which are important for the effective working of the Faculty.
3. To serve as a means of reference and communication between administrative officers and Faculty. This handbook is not an extension of the contractual arrangement between the Faculty and the college, either actual or implied.]<sup>2</sup>

## **3.1 INTRODUCTION AND DISCLAIMER**

### **3.1.1 Introduction**

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<sup>2</sup> Acknowledgement and appreciation is herewith expressed to the many academic institutions whose policies and Handbooks were consulted for policy review and formation, formatting, and general contents contained in the typical Faculty handbook. In addition, acknowledgement is herewith made to the University Leadership Council’s *Custom Research Brief*, which provided guidance and access to several institutional handbooks. Also, at the time of publication of this edition, the final document *2013 LCMS Handbook* was not available, and the information contained was based on the relevant sections of “Today’s Business” for the 65<sup>th</sup> Regular Convention of The Lutheran Church—Missouri Synod and an early, unofficial release of the *2013 LCMS Handbook*.

This *Faculty Handbook* contains policy and procedures developed by the Faculty of Concordia University and adopted by the Board of Regents of Concordia University and those developed by the Board of Regents of Concordia University, the Board of Directors of Concordia University System, and The Lutheran Church—Missouri Synod detailing the functional relationships of these entities to this institution and its Faculty. Some purely administrative policies and procedures are adopted by the President’s Cabinet or individual members of this Cabinet. This *Faculty Handbook* is an official document of the institution containing approved student life and academic policies as well as Faculty organization and polity, and institutional personnel policies relative to the Faculty.

In some instances the complete policy or procedure is not contained in this document, but is rather referenced with a hyperlink to the document containing the referenced item.

### **3.1.2 HISTORY**

The University was founded as a seminary in Addison, Illinois, in 1864 on six acres (soon to become 20 acres) as the *Evangelical Lutheran Teachers Seminary*. Within two years it was a five year program preparing male teachers for congregations of The Lutheran Church—Missouri Synod. In 1913 the campus was relocated to its current 40-acre site in River Forest, Illinois, renamed as *Concordia Teachers College*. On this site it grew in enrollment and facilities, but the focus remained on the preparation of male teachers for the church. In 1939 the first female students were admitted. In the late 1960’s it began accepting a limited number of liberal arts students. In 1957 the graduate program was introduced, initially only offered on the campus. As the limit for liberal arts students was increased the name was changed to *Concordia College* in 1979 to reflect this change. To better accommodate curriculum development and expansion the structure of the Faculty was completely changed, together with the adoption of the name *Concordia University*, in 1990. Subsequently, following a massive expansion of the offerings and locations of the graduate programs and the necessity to identify this Concordia as a unique institution, the University began doing business as *Concordia University Chicago*. While the registered corporate name remains *Concordia University*, the University now does business as *Concordia University Chicago*<sup>3</sup>.

### **3.1.3 Mission Statement**

#### **3.1.3.1 MISSION**

As a distinctive, comprehensive university of The Lutheran Church—Missouri Synod, centered in the Gospel of Jesus Christ, and based in the liberal arts, Concordia University Chicago equips men and women to serve and lead with integrity, creativity, competence, and compassion in a diverse, interconnected, and increasingly urbanized church and world.

#### **3.1.3.2 VISION**

Concordia University is the university of choice for those seeking a Christian institution in the Midwest which provides a broad, liberal arts based undergraduate education, as well as graduate and professional programs in areas of demonstrated competence, which serve a particular need of society and advance the mission of the Church.

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<sup>3</sup> For a more complete history of the first one hundred years of the institution see Alfred J. Freitag, *College with a Cause: A History of Concordia Teachers College* (River forest: Concordia Teachers College, 1964). For the period from 1964 through 1989 see Paul G. Bunjes and Merle L. Radke, *Changeless Change: 125 Years 1864-1989* (River Forest, Concordia College, 1989). For the first 150 years see *Concordia University Chicago Faithfully Onward, Ever Upward*, 2014. These publications are available in the Klinck Memorial Library, located on the River Forest campus.

### **3.1.3.3 CORE VALUES**

We at Concordia University Chicago embrace these Core Values as essential to living together in a vibrant and influential Christian academic community and as productive citizens of the Church and world.

✧ **Christian Faith**

The Christian faith is an integral part of our community.

✧ **The Individual**

As a member of God's creation each person is unique and is blessed with inherent worth.

✧ **Excellence**

We strive for excellence in who we are and what we do.

✧ **Integrity**

Our community demonstrates the accord between our beliefs and practices.

✧ **Service**

Recognizing and addressing the needs of others is a response to God's love for us and a reflection of God's love for them.

## **3.1.4 STRATEGIC PLANNING**

### **3.1.4.1 STRATEGIC PLANNING PROCESS**

The strategic planning process begins with the establishment and defining of the University's Mission, Vision, and Core Values. These documents form the foundation of any planning effort and provide University-wide direction applicable to all individual units. The Mission and Vision are crafted by the President of the University with help from the Strategic Planning Council. Much of the strategic planning process takes place within the Strategic Planning Council. Once the Mission, Vision, and Core Values are established, the Planning Council begins working on the creation of Critical Targets, or special areas in which the University must make significant impact in order to effectively pursue the Mission towards the Vision. These Critical Targets help the University decide where it will devote its limited resources so that it stays on the most effective and efficient path towards its desired future. Once Critical Targets are identified, the Planning Council separates into several workgroups to develop Objectives, or items that, if the University accomplishes, will ensure we are adequately addressing the Critical Targets, for the Strategic Plan.

### **3.1.4.2 STRATEGIC PLANNING STRUCTURE**

The Strategic Planning process takes place largely within the Strategic Planning Council. This group is composed of the President's Cabinet, the Director of Institutional Research, two Faculty members, two staff members, two undergraduate students (when available), and two graduate students (when available). The Faculty and staff members are selected by the President from a slate elected by their peers. The Strategic Planning Council is currently at the Objective stage and has split into the following workgroups: global focus, academics and student success, collaborative relationships, marketing, and innovation. Each of these workgroups is comprised of various members of the Strategic Planning Council along with assorted other staff and Faculty the workgroup leader believes would be beneficial to include in the discussion.

### **3.1.4.3 STRATEGIC PLAN SYNOPSIS**



Currently, the Strategic Plan is being updated by the Strategic Planning Council. The plan will center around the Mission (established in 1998), the Vision (recast in 2012), and the Core Values (established in 2008).

The Strategic Planning Council has also identified several Critical Targets. The Critical Targets will help serve as areas of focus for the development of objectives.

### **3.1.4.4 CRITICAL TARGETS**

#### **3.1.4.4.1 ACADEMICS**

Established and innovative academic programs of excellence that are attractive, flexible, and adaptive are facilitated by highly qualified and motivated Faculty and staff who engage in continuous programmatic and professional improvement.

#### **3.1.4.4.2 ADVANCEMENT**

Multiple communities of influence are collaboratively engaged to advance and fund the mission and vision of Concordia.

#### **3.1.4.4.3 STUDENT SUCCESS**

The living and learning environments of Concordia University provide a high level of academic challenge, offer opportunities for active and collaborative learning, encourage healthy interaction among diverse students and Faculty, inspire enriching educational experiences, and create a supportive community.

#### **3.1.4.4.4 FINANCE**

Long-term financial stability and fiscal independence provide the critical resources necessary to address challenges; take advantage of programmatic and income opportunities; and address the expectations, guidelines, or requirements established by debtors, donors, students, Faculty and staff, governmental funding agencies, or other constituents.

#### **3.1.4.4.5 INNOVATION**

A commitment and ability to successfully engage in innovative approaches to curriculum development and delivery, institutional advancement, student success, and financial development keep Concordia actively exploring and adopting best practices in higher education.

#### **3.1.4.4.6 CRITICAL TARGETS AS GUIDEPOSTS**

These Critical Targets will serve as guideposts as the Strategic Planning Council crafts Objectives for the new Strategic Plan. That is not to say that all Objectives contained within the plan will be specific to one Critical Target or another, however, all Objectives should address one or more of the Critical Targets. These Objectives should be specific, measurable, acceptable, realistic, and timed to ensure continuous progress to their completion. As Objectives are fulfilled, new objectives may be crafted to take their place and continue addressing the Critical Targets, guided by our Core Values and Mission, toward our Vision.

### **3.1.5 DISCLAIMER**

This *Handbook* is to be used for informational purposes only and **should not be interpreted as creating a contract of any kind** between the University and the members of the Faculty.

**This *Handbook* is not a contract.**

### **3.1.6 HIERARCHY OF SOURCES**

As several sources are relevant and have responsibilities for inclusion of policies or related procedures in this *Handbook*, the hierarchy of prevalence in these documents is herewith enumerated. Any lower numbered document or source prevails over any higher numbered source. While a higher numbered authority may not reduce any subordinate requirement, it may impose a more stringent requirement if not inhibited by another higher authority. For completeness and convenience, some policies from other sources are summarized in this document. Should any conflict of interpretation or essence occur, the lower numbered source above shall prevail.

1. *2013 LCMS Handbook of The Lutheran Church—Missouri Synod.*
2. Board for University Education (BUE) of Directors of the Concordia University System of The Lutheran Church—Missouri Synod.
3. *BUE Handbook. Concordia University System, Institution Policy Manual*, 2013-09-03.
4. Concordia University Chicago Board of Regents.
5. *Handbook for the Board of Regents of Concordia University Chicago* (under revision).
6. Administrative Cabinet, Concordia University Chicago
7. Individual Members of President’s Cabinet, Concordia University Chicago.
8. University Faculty
9. College Faculty

## **3.2 ADMINISTRATIVE ORGANIZATION**

### **3.2.1 CONCORDIA UNIVERSITY SYSTEM CORPORATION<sup>4</sup>**

#### **3.2.1.1 CONCORDIA UNIVERSITY SYSTEM**

“3.6.6 Concordia University System, as a corporation under the laws of the State of Missouri, is operated by its Members and board of directors in accordance with its Articles of Incorporation and corporate bylaws to further the objectives of higher education within the Synod. Any amendments to these Articles of Incorporation shall be subject to approval by the members<sup>5</sup>.

“3.6.6.1 The Board of Directors of the Concordia University System has authority with respect to the Synod’s colleges and universities. It shall have the overall responsibility

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<sup>4</sup> This section is based on and quotes Section 3.6.6 of the *2013 LCMS Handbook*.

to provide for the education of pre-seminary students, ministers of religion—commissioned, other professional church workers of the Synod, and others desiring a Christian liberal arts education by providing prior approval for all initial full-time theology appointments to college/university faculties and by coordinating the activities of the Synod's colleges and universities as a unified system of the Synod through their respective boards of regents.

“3.6.6.2 The members of Concordia University System shall consist of the Synod and the colleges and universities of the Synod. The Board of Directors of the Synod and the Council of Presidents of the Synod each shall elect delegates representing the Synod. The boards of regents of the colleges and universities of the Synod shall elect delegates representing the colleges and universities. The numbers of delegates elected by the Board of Directors of the Synod, the Council of Presidents, and the boards of regents shall be established by the Articles of Incorporation and Bylaws of Concordia University System.

“3.6.6.3 The Board of Directors of Concordia University System shall be composed of nine voting members and four nonvoting members (no more than one member elected by the Synod shall be from the same district, and no executive, Faculty member, or staff member from a Lutheran institution of higher education may serve on the Board of Directors of Concordia University System as a voting member):

*Voting Members:*

1. Two ministers of religion—ordained elected by the Synod
2. One minister of religion—commissioned elected by the Synod
3. Two laypersons elected by the Synod
4. Three laypersons appointed by the delegates of the members  
of Concordia University System
5. The President of the Synod or his representative

*Nonvoting Advisory Members:*

1. A district president appointed by the Council of Presidents
2. The Chief Financial Officer of the Synod
3. The Chief Mission Officer or his/her representative
4. One university president

Persons elected or appointed to the Concordia University System Board of Directors shall have demonstrated familiarity and support of the institutions, and shall support the doctrinal positions of the Synod, and shall possess two or more of the following qualifications: theological acumen, an advanced degree, experience in higher education administration, and administration of complex organizations, finance, law, investments, technology, human resources, facilities management, or fund development. The Chief Administrative Officer of the Synod (or a designee) and the Secretary of the Synod (or a designee) shall review and verify that nominees are qualified to serve as stated above.

“3.6.6.4 The presidents and interim presidents of the Synod's educational institutions shall comprise an advisory council which shall meet at the call of the Board of Directors

of Concordia University System and report the results of its studies to the board for consideration in making its decisions.

“3.6.6.5 In keeping with the objectives and the Constitution, Bylaws, and resolutions of the Synod, the Board of Directors of Concordia University System shall

- “(a) develop detailed coordinating policies and procedures for cooperative roles and responsibilities of the colleges and universities;
- “(b) together with boards of regents and the Board of Directors of the Synod, coordinate institutional planning capital projects in relation to campus property-management agreements and institutional master plans;
- “(c) review and approve new programs and manage peer review of programs in the interest of the institution(s) and the Synod;
- “(d) establish policy guidelines involving distribution of grants from the Synod (restricted and unrestricted) and efforts for securing additional financial support from other sources;
- “(e) obtain data on liberal arts education and current trends and government regulations in higher education that impact upon collaborative efforts and relationships within the Concordia University System;
- “(f) together with the Board of Directors of the Synod, establish and monitor criteria for determining institutional viability, fiscal and otherwise;
- “(g) together with districts, congregations, local boards of regents, and national efforts, assist congregations and districts in student recruitment for both professional church work and lay higher education;
- “(h) serve as a resource for the development of lists of potential teaching and administrative personnel;
- “(i) upon request of the President of the Synod, assist in monitoring the ongoing faithfulness of all Concordia University System institutions to the Synod’s doctrine and practices;
- “(j) together with schools, districts, congregations, and national efforts, foster continuing education for ministers of religion—commissioned; and
- “(k) have authority, after receiving the consent of the Board of Directors of the Synod by its two-thirds vote and also the consent of either the Council of Presidents by its two-thirds vote or the appropriate board of regents by its two-thirds vote, to consolidate, relocate, separate, or divest a college or university.

“3.6.6.6 The Board of Directors of Concordia University System shall receive evidence on a regular basis from boards of regents and campus administrators that they are

- (a) actively working to preserve their Lutheran identity by supporting the objectives of The Lutheran Church—Missouri Synod (Constitution Art. III) and complying with an emphasis on mission-focused leadership in service to church and community;

(b) delivering academic and student programs designed to give students Christ-centered values and tools that equip them for vocations within the church and world;

(c) preparing graduates for service as ministers of religion—commissioned and for continued study for service as ministers of religion—ordained for the Synod;

(d) implementing accepted higher education standards, including policies that ensure fiscal and institutional viability:

- achieving positive annual financial results
- acquiring quality administrators, Faculty, and staff
- meeting fiscal and academic benchmarks
- building endowments and managing investment assets for the long-term benefit of the institutions
- acquiring and managing long-term debt carefully and responsibly

(e) sustaining a Concordia experience that reflects strong institutional quality, provides opportunities to be of greater service to the church and society, and mobilizes individuals in a way that aids the campuses in achieving their collective vision with respect to their identity, quality, and viability; and

(f) maintaining accountability of its institutions to the system-wide board, while expecting stronger governance of the institutions by their boards of regents.”

### **3.2.2 FUNCTIONS OF THE BOARD OF REGENTS<sup>6</sup>**

**3.10.5.4** “The board of regents of each institution shall become familiar with and develop an understanding of pertinent policies, standards, and guidelines of the Synod and the Board of Directors of Concordia University System.

“(a) It shall develop details of policies and procedures for governance of the institution, including but not limited to

(1) attention to specific ways that the institution is confessing Jesus Christ in full accord with the doctrinal position of the LCMS (Constitution Art. II) and fulfilling His mission in our world;

(2) annual certification of the institution’s financial viability;

(3) creation, modification, and abolition of administrative positions;

(4) processes for filling and vacating administrative positions;

(5) a clear plan for succession of administration to ensure that the institution continues to function effectively in the case of incapacity or lengthy absence of the president.

“(b) It shall coordinate institutional planning with other Concordia University System schools and approve master plans for its college or university.

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<sup>6</sup> This section is based on and quotes the *2013 LCMS Handbook*, Section 3.10.5.4.

- “(c) It shall review and approve academic programs recommended by the administration and Faculty after assessment of system policies in accordance with Concordia University System standards and guidelines and institutional interests and capacities.
- “(d) It shall review and approve the institutional budget.
- “(e) It shall approve institutional fiscal arrangements, develop the financial resources necessary to operate the institution, and participate in its support program.
- “(1) Only the board of regents is authorized to establish a line of credit or to borrow for operating needs, subject to the policies of the Board of Directors of Concordia University System and the Board of Directors of the Synod.
- “(2) All surplus institutional funds above an adequate working balance shall be deposited with the Concordia University System for investment. Earnings from such investments shall be credited to the depositing institution.
- “(f) It shall establish appropriate policies for institutional student aid.
- “(g) It shall participate fully in the procedures for the selection and regular review of the president of the institution and of the major administrators; approve of the appointment of Faculty members who meet the qualifications of their positions; approve sabbatical and study leaves; and encourage Faculty development and research.
- “(h) It shall take the leadership in assuring the preservation and improvement of the assets of the institution and see to the acquisition, management, use, and disposal of the properties and equipment of the institution within the guidelines set by the Board of Directors of The Lutheran Church—Missouri Synod.
- “(i) It shall operate and manage the institution as the agent of the Synod, in which ownership is primarily vested and which exercises its ownership through the Board of Directors as custodian of the Synod’s property, the Board of Directors of Concordia University System, and the respective board of regents as the local governing body. Included in the operation and management are such responsibilities as these:
  - “(1) Carrying out efficient business management through a business manager appointed on recommendation of the president of the institution and responsible to him.
  - “(2) Receiving of all gifts by deed, will, or otherwise made to the institution and managing the same, in accordance with the terms of the instrument creating such gift and in accordance with the policies of the board of regents.
  - “(3) Demonstrating concern for the general welfare of the institutional staff members and other employees, adoption of regulations governing off-campus activities, development of policies regarding salary and wage scales, tenure, promotion, vacations, health examinations, dismissal, retirement, pension, and other employee welfare benefit provisions.
  - “(4) Determining that the charter, articles of incorporation, constitution, and bylaws of the institution conform to and are consistent with those of the Synod.

- “(5) Serving as the governing body corporate of the institution, vested with all powers which its members may exercise in law either as directors, trustees, or members of the body corporate, unless in conflict with the laws of the domicile of the institution or its Articles of Incorporation. In such event, the board of regents shall have power to perform such acts as may be required by law to effect the corporate existence of the institution.
- “(6) Establishing and placing a priority on the capital needs of the institution and determining the plans for the maintenance and renovation of the buildings and property and purchase of needed equipment, but having no power by itself to close the institution or to sell all or any part of the property which constitutes the main campus.
- “(7) Recognizing that the authority of the board of regents resides in the board as a whole and delegating the application of its policies and execution of its resolutions to the president of the institution as its executive officer.
- “(8) Reviewing and approving the major policies of the institution regarding student life and activities as developed by the Faculty and recommended by the administration.
- “(9) Promoting the public relations of the institution and developing the understanding and cooperation of its constituency.
- “(10) Requiring regular reports from the president of the institution as the executive officer of the board and through him from other officers and staff members in order to make certain that the work of the institution is carried out effectively.”

### **3.2.3 BOARD OF REGENTS’ GOVERNANCE OF ACADEMIC AFFAIRS**

The Board of Regents reviews and approves the following academic items<sup>7</sup>:

- Granting of Sabbatical and Special Leaves
- Distinguished Awards
- *Academic Policies Handbook*
- *Faculty Personnel Handbook*
- Faculty Organizational Structure, Positions, and Status of Appointments
- Promotions in Rank, Appointments and Renewals
- *Staff Personnel Handbook*
- Staff Appointments
- *Undergraduate Student Handbook*
- *Graduate Student Handbook*

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<sup>7</sup> This information is based on the *Board of Regents’ Policy Manual* (May, 2006 revision of 3 December 1999, and confirmed 3-4 June 2011).

- Administrative Organizational Positions and Appointments
- Changes to Academic Programs
- Tuition and Fees
- Faculty-Initiated Institutional Policies

(There are numerous additional items not specifically related to academics.)

Because the Board of Regents relates to the institution through its chief executive officer (President), only the President may bring Faculty recommendations and potential policy changes to the Board for action<sup>8</sup>.

### 3.2.4 FUNCTIONS OF THE PRESIDENT OF THE INSTITUTION<sup>9</sup>

**3.10.5.5** The president of the institution shall be the executive officer of the Board of Regents. He shall serve as the spiritual, academic, and administrative head of the institution.

- a. He shall represent the institution in its relations to the Synod and its officers and boards.
- b. He shall supervise, direct, and administer the affairs of the institution and all its departments, pursuant to the rules and regulations of the Synod and its boards and agencies, and the policies of the Board of Regents.
- c. He shall bring to the attention of the Board of Regents matters which require consideration or decision and make pertinent recommendations.
- d. He shall be the academic head of the Faculty, preside at its meetings, and be an *ex officio*<sup>10</sup> member of all standing committees of the Faculty and its departments with the exception of the standing hearings committee or of another standing committee to which the functions of such a committee have been assigned.
- e. He shall periodically visit or cause to be visited the classes of professors and instructors, and in general secure conformity in teaching efficiency and subject matter to the standards and policies prescribed by the Board of Regents and by the Synod through the Board for University Education.
- f. He shall advise and admonish in a fraternal spirit any member of the Faculty found dilatory, neglectful, or exhibiting problems in his teaching. Should this action prove ineffective, he shall request selected members of the Faculty privately to engage their colleague in further fraternal discussion. If this results in failure to correct or improve the situation, the president shall report the matter to the Board of Regents with his recommendation for action.

<sup>8</sup> See Section 3.6.1, paragraph 5, Faculty Senate; Function; *Faculty Handbook*.

<sup>9</sup> See Section 3.10.5.5 of the *2013 LCMS Handbook*.

<sup>10</sup> *Ex officio* members of any Faculty committee, council, or task force shall not have the right of voting in that group. The president is a full member of the Faculty, not an *ex officio* member.



- g. He shall delegate or reassign one or more of his functions to a member of the Faculty or staff, although standing administrative assignments shall be made by the Board of Regents on his recommendation.
- h. He shall be responsible for the provision of spiritual care and nurture for every student.
- i. He shall carefully watch over the spiritual welfare, personal life, conduct, educational progress, and physical condition of the students and in general exercise such Christian discipline, instruction, and supervision as may be expected at a Christian educational institution.
- j. He shall be responsible for the employment, direction, and supervision of all employees of the institution.
- k. He shall be responsible for the business management of the school and for the proper operation and maintenance of grounds, buildings, and equipment.
- l. He shall make periodic and special financial reports to the Board of Regents.

The Board of Regents has designated this order for service as Acting President when the President is away from campus for an extended period of time:

- 1. Senior Vice President for Planning and Research
- 2. Senior Vice President for Academics
- 3. Vice President for Administration

#### **3.2.4.1 PRESIDENT'S CABINET**

The President's Cabinet consists of the President, the vice presidents, and any others invited by the President. The Cabinet meets as scheduled by the President and acts as an advisory group to the President.

The present members of this cabinet include, beside the President, the Senior Vice President for Academics, the Senior Vice President for Development and Alumni Relations, the Senior Vice President for Planning and Research, the Vice President for Finance, the Vice President for Administration, the Vice President for Student Life and Leadership Development, the Vice President for Enrollment and Marketing, and the Vice President for Educational Innovation.

#### **3.2.4.2 PRESIDENTIAL COMMUNICATIONS WITH THE INSTITUTION**

The President of Concordia University utilizes two official venues to communicate with the institution.

- The President shares and discusses institutional affairs with the President's Cabinet.
- After each Board of Regents meeting, the President briefs Faculty and staff in memo form to share highlights from the Board meeting and from time to time hosts Faculty and staff to engage in conversation regarding relevant topics.

The President may also communicate with the Faculty, staff, and students from time to time through various means.

### 3.2.5 ADMINISTRATIVE OFFICES

The Board of Regents creates, modifies, or abolishes administrative positions on recommendation of the President. Appointments to these offices are at will.

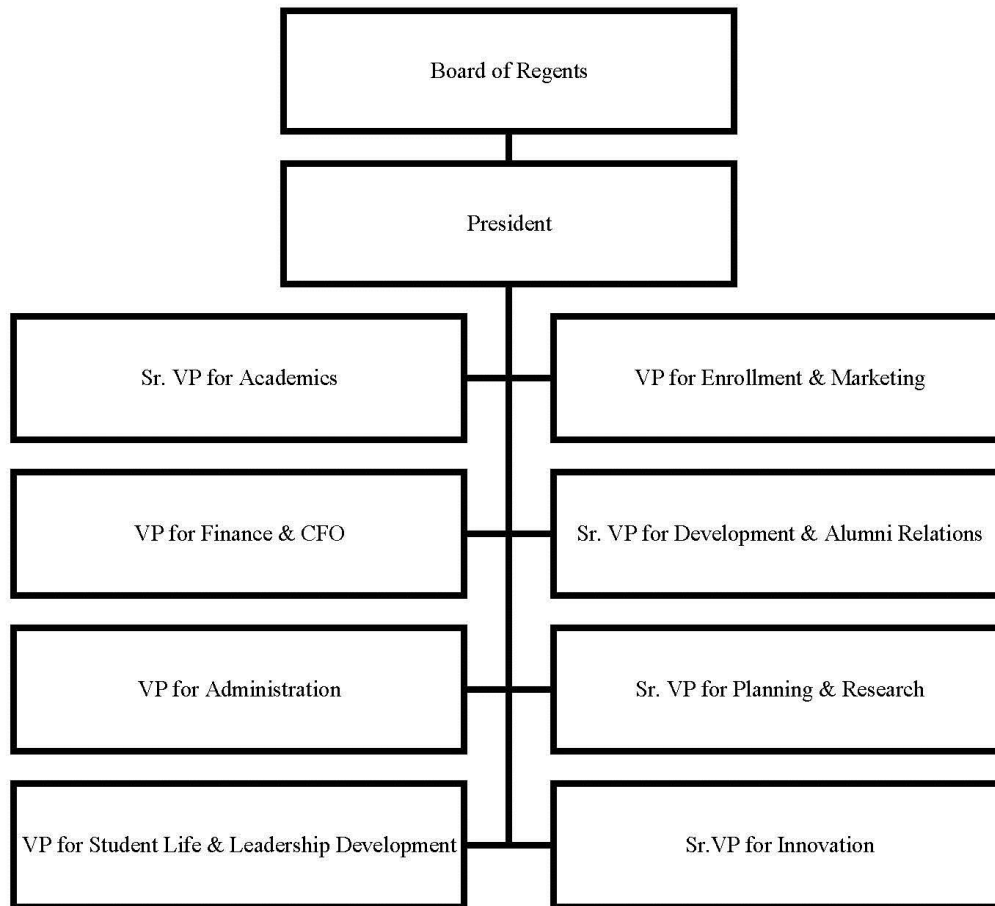
The Board of Regents makes administrative appointments on recommendation of the President.

The President makes recommendations for subordinate administrative appointments after consultation with the appropriate supervising administrator.

The University organizational chart follows and is posted on the University [portal](#).

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## President's Cabinet



For an organization chart for the structure under the Senior Vice President for Academics [click here](#).

### **3.2.6 THE SENIOR VICE PRESIDENT FOR ACADEMICS**

The Senior Vice President for Academics is responsible to the President for all of the University's Faculty and academic affairs. The Senior Vice President for Academics serves at the will of the President.

#### **3.2.6.1 SELECTION OF THE SENIOR VICE PRESIDENT FOR ACADEMICS**

The Senior Vice President for Academics is selected in the following way:

- a. The President solicits nominations/applications through in-house and public advertising. Public advertising shall include various Synodical publications and websites, including the Concordia University System Website [<http://www.lcms.org/cus> ], the *Lutheran Witness*, and *The Reporter*.
- b. The Deans of the College of Arts and Sciences, the College of Business, the College of Education, and the College of Graduate and Innovative Programs, plus one Faculty member from each of the College of Arts and Sciences, College of Business, College of Education, and the College of Graduate and Innovative Programs (elected by the Faculty of each college) screen the applications, conduct interviews, and make recommendation(s) to the President. The President selects/appoints from the list of recommended candidates. The President may request that the list be augmented.
- c. The Senior Vice President for Academics serves at the will of the President.
- d. The Board of Regents approves the appointment.

#### **3.2.6.2 RESPONSIBILITIES OF THE SENIOR VICE PRESIDENT FOR ACADEMICS**

The Senior Vice President for Academics is responsible to:

- a. Provide vision and leadership in overall institutional planning related to the academic, student research and evaluation, and Faculty affairs of the University.
- b. Coordinate all academic and Faculty affairs, including coordination with non-academic areas of the institution.
- c. Supervise and evaluate the effectiveness of the Director of Concordia University Research and Evaluation Services, the college deans, and the Registrar and make recommendations to the President regarding the appointment, retention, development, or terminations of those holding these positions.
- d. Coordinate and supervise in particular the construction and implementation of those portions of the annual budget assigned to those in the Senior Vice President for Academics' areas of responsibility, including the salaries of Faculty and staff in those areas.
- e. Review and convey to the President the deans' recommendations regarding the appointment, reappointment, termination, advancement, and tenure of Faculty, along with the Senior Vice President for Academics' own recommendations on those actions.

- f. Serve as an advocate for academic, student, research, and information services to the President and Board of Regents.
- g. Serve as an ex officio officer of the Faculty Senate, prepare appropriate reports for that body and appropriately assign the administration of academic policies adopted by the University pursuant to Senate or Faculty action.
- h. Prepare an annual report for the President of the Concordia University System on the University's academic activities.
- i. Prepare an annual report for the President on activities, planning, and goals in the areas of the Senior Vice President for Academics' responsibility.
- j. Serve as Acting President in the absence or disability of the President and the Senior Vice President for Planning and Research (pending the appointment of an Interim President by the Board of Regents in the event of long-term absence or disability).
- k. Serve on the Strategic Planning Committee and Council.
- l. Perform such other duties as may from time to time be assigned by the President.

### **3.2.6.3 ANNUAL EVALUATION OF THE SENIOR VICE PRESIDENT FOR ACADEMICS**

- a. An annual process is utilized to provide Faculty input for the evaluation of the Senior Vice President for Academics. The evaluations will be made after the first year of office and annually in the Fall Semester thereafter. The President will receive the results of the annual evaluation and will share the results with the Senior Vice President for Academics.

### **3.2.6.4 ASSOCIATE VICE PRESIDENT FOR ACADEMICS**

**Title:** Associate Vice President for Academics

**Reports to:** Senior Vice President for Academics.

**Appointment.** The Associate Vice President for Academics is appointed by the President in consultation with the Senior Vice President for Academics, generally for a two year term.

**Evaluation.** The Senior Vice President for Academics directs annual evaluation of the Associate Vice President for Academics and shares the results with the President and the Associate Vice President for Academics.

**Position Summary:** Promotes and operationalizes academic strategies and advocates institutional policies to enhance student persistence to graduation. Directs AQIP systems portfolio process/action projects, *ex officio* member general education committee; collaborates in general education assessment; coordinates/transitions interdisciplinary mission-specific courses.

- Collaborates with deans and department chairs in accessing, evaluating and disseminating research on best practices in instruction/assessment and current understanding of the developmental characteristics of students to the Faculty and staff.

- *Ex officio* member of the Academic Early Warning Committee chaired by the Vice President for Student Life; advises, enables, advocates, reports its activities to the Senior Vice President for Academics.
- Academics and VP/Enrollment and Marketing; supervises data-gathering which supports the work of the committee through the Student Success Assistant.
- *Ex officio* member of college policies committees as coordinated with the Senior Vice President for Academics.
- Regularly and systematically accesses, gathers and interprets data related to student academic performance and persistence to graduation to Faculty, deans, senior administrators, President and Regents. Conducts/utilizes formal and informal research on student views of their academic experience including Student Satisfaction Inventory (SSI) and College Success Inventory (CSI).
- Directs/evaluates implementation of current and recommends new strategic plans related to student retention and persistence and other associated areas consistent with the critical targets of the institutional strategic plan; collaborates with other campus units on implementation of SEP Strategies and Action Plans.
- Creates formal and informal task groups of Faculty, staff and students to address specific challenges/obstacles to persistence; advocates in particular for students identified with underrepresented demographic groups.
- Advocates for the professional growth of Faculty members and academic support staff in addressing the needs of a diverse student body.
- Collaborates with appropriate departments regarding external grants related to student support and success.
- Directs the development and periodic review of the institutional AQIP systems portfolio.
- *Ex officio* member of the General Education Assessment Committee.

### **3.2.6.5 ACADEMIC CABINET**

The college deans and academic support personnel (as directed by the Senior Vice President for Academics) meet regularly as a cabinet to support the Senior Vice President for Academics. This Academic Council will meet at the call of the Senior Vice President for Academics, who will develop the agenda and chair the meetings. The cabinet will discuss matters pertaining to academic programs, services, and Faculty as well as other matters referred to it.

### **3.2.7 COLLEGES OF THE UNIVERSITY**

The colleges of Concordia University are the College of Arts and Sciences, the College of Business, the College of Education, and the College of Graduate and Innovative Programs.

The major administrator of the college is the dean of that college who is responsible for carrying out the policies approved by the Board of Regents and for supervising the operation of the college.

### **3.2.7.1 COLLEGES**

- a. A full-time University Faculty member will have membership in one and only one of the four colleges by virtue of the Faculty member's membership in a department of that college. Initially this will be established through consultation of the Senior Vice President for Academics, appropriate college deans, and department chair(s) with each Faculty member.

The Faculty of a college will consist of full-time members of the University Faculty who hold membership in a department of that college and part-time or temporary non-voting members of the University Faculty who have instructional responsibilities within a department of the college.

### **3.2.7.2 GRADUATE FACULTY**

- a. Membership on the Graduate Faculty is by invitation of the Senior Vice President for Academics.
- b. Criteria for membership:
  - Full-time University Faculty member.
  - Earned doctorate or demonstrated extraordinary competency in an area of graduate school programming.
  - Teach at least one graduate level course on a regular basis.
- c. Expectations of members:
  - Direct involvement in graduate programs.
  - Direct involvement with graduate students (e.g., supervision of graduate assistants, service on graduate and dissertation committees).
  - Demonstrated research productivity.

## **3.2.8 COLLEGE DEANS**

A dean oversees each unit designated by the University as a college or school. The dean is normally appointed for a three-year renewable term and is responsible to the Senior Vice President for Academics for the duties and responsibilities of the office.

### **3.2.8.1 SELECTION OF COLLEGE DEANS**

College deans are selected in the following way:

- a. The Senior Vice President for Academics, in consultation with the President, solicits nominations/applications through in-house and public advertising. Public advertising shall include various Synodical publications and websites, including the Concordia University System Website [<http://www.lcms.org/cus> ], the *Lutheran Witness*, and *The Reporter*.

- b. A committee of up to five Faculty members from the college (elected by the Faculty members of the college) screens the applications, conducts interviews, and makes recommendations to the Senior Vice President for Academics.
- c. The Senior Vice President for Academics selects from the list recommended by the committee and makes a recommendation to the President for appointment. The Board of Regents approves the appointment.

### **3.2.8.2 RESPONSIBILITIES OF THE COLLEGE DEANS**

The individual college deans report to the Senior Vice President for Academics. Their respective responsibilities follow.

#### **3.2.8.2.1 DEAN, COLLEGE OF ARTS AND SCIENCES**

The Dean of the College of Arts and Sciences is responsible to:

- a. Provide vision and leadership for initiation, development, implementation, and evaluation of all undergraduate programs within the departments of the college.
- b. Provide leadership and encouragement to the Faculty of the college, and facilitate their pursuit of excellence in instruction, professional productivity and research, and community service.
- c. Serve as administrative officer for all programs housed in the departments of the College of Arts and Sciences.
- d. In consultation with appropriate department chair(s), project staffing needs within the Faculty of the department, secure approval for new positions, work with the appropriate Search Committee to conduct interview of candidates for approved positions, and submit recommendations to the Senior Vice President for Academics, the President, and the Board of Regents for appointments of new Faculty.
- e. Provide for the orientation of new Faculty within the departments of the college.
- f. In consultation with department chairs, review and assess the performance of Faculty within the college for the purpose of Faculty development and recommend contract renewal, termination, and sabbatical or study leaves.
- g. Work with the various constituencies of the University, including administration, Faculty, staff, students, parents, and alumni, for the promotion of the college.
- h. Work with department chairs to coordinate course offerings and staffing for courses falling within the programs offered by the department.
- i. Work with department chairs to establish budgets for programs within the departments and serve as budget control officer for the college.
- j. Serve as a member of the Academic Cabinet.
- k. Serve as *ex officio* member of the policies committee of the college and all college committees.
- l. Coordinate programs, activities, and personnel with the colleges and offices of the University.



- m. Represent the needs of the college to the Academic Cabinet and other offices of the University.
- n. Represent the college both within and outside the University.
- o. Be sensitive to the vagaries of the marketplace particularly with respect to the immediate vicinity of the University and within The Lutheran Church—Missouri Synod and seek opportunities to provide programs for the church and community.

### **3.2.8.2.2 DEAN, COLLEGE OF BUSINESS**

The Dean of the College of Business is responsible to:

- a. Provide vision and leadership for initiation, development, implementation, and evaluation of all programs within the college.
- b. Provide leadership and encouragement to the Faculty of the college, and facilitate their pursuit of excellence in instruction, professional productivity and research, and community service.
- c. Serve as administrative officer for all programs housed in the College of Business.
- d. In consultation with the chair of undergraduate programs and the chair of the graduate programs, project staffing needs within the Faculty of the department, secure approval for new positions, work with the appropriate Search Committee to conduct interview of candidates for approved positions, and submit recommendations to the Senior Vice President for Academics, the President, and the Board of Regents for appointments of new Faculty.
- e. Provide for the orientation of new Faculty within the departments of the college.
- f. In consultation with chairs, review and assess the performance of Faculty within the college for the purpose of Faculty development and recommend contract renewal, termination, and sabbatical or study leaves.
- g. Work with the various constituencies of the University, including administration, Faculty, staff, students, parents, and alumni, for the promotion of the college.
- h. Work with chairs to coordinate course offerings and staffing for courses falling within the programs offered by the college.
- i. Work with chairs to establish budgets for programs within the departments and serve as budget control officer for the college.
- j. Serve as a member of the Academic Cabinet.
- k. Serve as *ex officio* member of the policies committee of the college and all college committees.
- l. Coordinate programs, activities, and personnel with the colleges and offices of the University.
- m. Represent the needs of the college to the Academic Cabinet and other offices of the University.
- n. Represent the college both within and outside the University.
- o. Be sensitive to the shifting demands of the marketplace particularly with respect to the immediate vicinity of the University and within The Lutheran Church—Missouri Synod and seek opportunities to provide programs for the church and community.

### 3.2.8.2.3 DEAN, COLLEGE OF EDUCATION

The Dean of the College of Education is responsible to:

- a. Provide vision and innovation of all education programs.
- b. Serve as the administrative officer for the education unit.
- c. Project staffing needs in collaboration with the Faculty of the College of Education, and work with the appropriate search committee and department chair (program coordinator) to conduct interviews of candidates and make hiring recommendations to the Senior Vice President for Academics.
- d. Work with the department chairs (program coordinators) to provide orientation and mentoring of new Faculty.
- e. Provide for the peer review process to review and assess the performance of Faculty within the College of Education leading to recommendations for contract renewal, termination, tenure, and sabbatical/study leaves.
- f. Promote the programs of the College of Education and the University.
- g. Assist department chairs (program coordinators) in coordination of course offerings.
- h. Prepare the budget of the College of Education and serve as the budget control officer.
- i. Maintain appropriate records of all meetings of the Education Policies Committee, the Teacher Education Council, correspondence with State of Illinois Boards, Teacher Candidate test scores, records of various state/federal and accreditation compliance reports, and Title II reports.
- j. Serve as an *ex officio* member of the Education Policies Committee and all college committees.
- k. In collaboration with the Registrar provide for and support the University's Licensure Officer relative to the regulations of the Illinois State Board of Education and the State Educator Preparation and Licensing Board and sub-committees.
- l. Serve as or appoint institutional representatives to CAEP<sup>11</sup>, IACTE<sup>12</sup> CCADE<sup>13</sup>, and IATEPC<sup>14</sup>.
- m. Monitor marketplace needs and seek opportunities to provide programs for the church and community.
- n. Serve as a member of the Academic Cabinet.
- o. Collaborate and partner with the University Research and Assessment Office.
- p. Collaborate and support the Synodical Placement Office and Career Services Office for supporting Teacher Candidates in their search for beginning positions.

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<sup>11</sup> CAEP is the Council for the Accreditation of Educator Preparation.

<sup>12</sup> IACTE is the Illinois Association of Colleges for Teacher Education.

<sup>13</sup> CCADE is the Council of Chicago Area Deans of Education.

<sup>14</sup> IATEPC is the Illinois Association of Teacher Educators in Private Colleges.

- q. Provide leadership for the development, management, and operations of the education unit assessment system as required by state and accrediting bodies.
- r. Supervise the governance of the teacher preparation curriculum and instruction. Provide for systems that support data informed on-going program improvements.

#### **3.2.8.2.4 DEAN, COLLEGE OF GRADUATE AND INNOVATIVE PROGRAMS**

The Dean of the College of Graduate & Innovative Programs [GIP] will provide effective, efficient, and servant leadership to the Faculty and staff, programs, and finances of the College. He/she will do so by:

- a. Providing vision and leadership for, initiation, development, implementation, and evaluation of all graduate, undergraduate, and innovative programs within GIP academic programs, seminars, workshops, conferences, and convocations at both on-campus and off-campus sites,
- b. Providing leadership and encouragement to the Faculty and facilitating their pursuit of excellence in instruction, research, and service.
- c. Giving appropriately balanced attention to GIP instructional, research, innovation, and service responsibilities.
- d. Making administrative decisions that facilitate improvement of GIP undergraduate, graduate, and innovative programs.
- e. Making administrative decisions that facilitate improvement in the college's research programs.
- f. Making administrative decisions that facilitate improvement in the college's outreach or service to the public.
- g. Making administrative decisions that facilitate improvement in the college's outreach or services to the profession.
- h. Gaining an appropriate share of resources for the college from the total University appropriation.
- i. Helping the college to acquire external funding.
- j. Establishing appropriate methods for communicating important developments to the Faculty.
- k. Establishing appropriate methods for communicating important developments to other administrators.
- l. Establishing effective ways for gaining representative Faculty opinion on relevant issues.
- m. Providing useful Faculty services.
- n. Allocating resources to departments consistent with college goals and priorities.
- o. Allocating resources to instructional programs consistent with college goals and priorities.
- p. Select and retain effective department heads and program leadership.

- q. Mediate effective resolution of disputes among Faculty, department heads, staff and students.
- r. Recruit and retain outstanding Faculty members.
- s. Effectively oversee the college promotion and tenure process.
- t. Making reasonable efforts to retain outstanding Faculty members.
- u. Exercising fairness in making or reviewing personnel recommendations (selection, salary, promotion, tenure).
- v. Making valid assessments of the quality of the college's instructional programs.
- w. Making valid assessments of the quality of the college's service programs.
- x. Being an advocate for Student Learning Outcomes.
- y. Serve as a member of the Academic Cabinet.
- z. Oversee the college hiring process.

#### **3.2.8.2.5      ASSOCIATE/ASSISTANT DEAN, COLLEGE OF ARTS AND SCIENCES**

This position does not exist at this time.

#### **3.2.8.2.6      ASSOCIATE DEAN, COLLEGE OF BUSINESS**

Reporting to the Dean, the Associate Dean of Business performs duties related to the administration of the business programs of the College of Business. The Associate Dean of Business works in tandem with the College of Business Program Chairs to assure the smooth operation of the academic programs of the School, and provides the administrative leadership for the CoB in the absence of the Dean. The Associate Dean of the College of Business provides intellectual and substantive support to the mission of the College and its effectual implementation of the programs directed toward successful outcomes for students within the College's community by engaging in the following:

- a. Coordinate the conceptualization, development, implementation, and evaluation of graduate and undergraduate programs in consultation with and direction of the Dean of the College, and in collaboration with Graduate and Undergraduate Chairs to coordinate
- b. Assist with the facilitation of communication within the College through personal contact with Faculty and staff and within department and policy committee meetings
- c. Review and initiate courses and programs to achieve the goals of the College, in consultation with the Dean, Graduate and Undergraduate Chairs
- d. Oversee the educational processes that include course development, program review, Faculty development, textbook selection, staffing, and program implementation

- e. Adjudicate student grievances and complaints in the absence of the Dean or when a conflict of interest may be perceived
- f. Assist the Dean and Department Chairs in securing qualified Faculty and staff for programs and courses within the College
- g. Promote opportunities for students to engage in educational work within and beyond the formal structure of course offerings, including field trips, speaker events, and workshops
- h. Assist Chairs as needed to effectively implement program offerings at the graduate and undergraduate levels
- i. Develop courses and programs, working with the Dean, which advance the mission of the College and University, in consultation with Faculty
- j. Develop external relationships to expand the College's community of supporters and participants to provide educational and financial resources for College programs
- k. Assist the Dean with ministerial acts of approval and denial through oversight, evaluation and decision-making when approached by students, Dean of Students, and advising personnel
- l. Attend meetings of the Policy Committee and Peer Review Committee when requested, as well as Academic Cabinet meetings when requested by the Dean or Senior Vice President for Academics
- m. Serve as ex officio member of Policy, Faculty Search, and other committees, as requested by the Dean or the Committee Chair
- o. Represent the College and University in public functions as requested by administrative officers and as determined by the Dean

#### **3.2.8.2.7 ASSOCIATE/ASSISTANT DEAN, COLLEGE OF EDUCATION**

This position does not exist at this time.

#### **3.2.8.2.8 ASSOCIATE AND ASSISTANT DEANS. COLLEGE OF GRADUATE AND INNOVATIVE STUDIES**

##### *3.2.8.2.8.1 Associate Dean, College of Graduate and Innovative Studies*

The Associate Dean of the College of Graduate and Innovative Programs will provide support and leadership to the Dean and Faculty in an effective and efficient manner aligned with the mission and vision of the University and the College. Responsibilities include:

- a. Work with department chairs to coordinate the conceptualization, development, implementation, and evaluation of graduate and assigned undergraduate programs within College of Graduate and Innovative Programs.
- b. Facilitate ongoing department chair meetings to establish clear communication and expectations for departmental initiatives.

- c. In consultation with the Dean and department chairs, review and support departmental goals aligned with the college vision, and work to assist in the process to attain them.
- d. Assist department chairs in course development, staffing, textbook selection, and management of programs.
- e. Review requests for change of grades and incompletes.
- f. Promote a student centered learning environment by establishing positive student/Faculty relationships.
- g. Assist in securing qualified Faculty and staff for programs within the college.
- h. Work with department chairs and program leaders to continuously improve program evaluation processes within assigned programs of the college.
- i. Provide leadership in program approval aligned with regulations set by states, regions, and government agencies to acquire and maintain accreditation.
- j. Lead and establish teams to complete compliance applications, follow-up reports, and maintain records appropriate to the college.
- k. Collaborate with departments in the collection, review, and analysis of program data in order to continuously improve college programs and address compliance requirements.
- l. Be knowledgeable of rules and regulations for K-12 certifications and endorsements and stay current with updates and revisions to the law.
- m. Work with department chairs and the Dean to maintain the program leader model, expectations, and annual review.
- n. Establish appropriate relationships with external partners relative to college program development, customer service, and formative program evaluation.
- o. Establish appropriate relationships with compliance officers for on-site visits, coordination of required documentation, and information pertinent to college Faculty and staff.
- p. Establish ongoing communication with various University offices and support staff for effective and efficient management of informational needs relative to programs, students, and Faculty.
- q. Work with the Dean to assist in allocating resources to departments consistent with college goals and priorities.
- r. Assist the Dean in making good decisions in selecting and retaining department heads.
- s. Maintain an active presence in professional organizations leading to scholarship and research.
- t. Collaborate with all University, college, and community partners through a model of servant leadership that is mission driven.

#### *3.2.8.2.8.2 Assistant Dean, College of Graduate and Innovative Programs*

The Assistant Dean of the College of Graduate and Innovative Programs, reporting to the Dean, serves the College of Graduate and Innovative Programs and the Office of the Dean. She or he will do so by:

- a. Providing leadership for the master's and doctoral programs pursuing course work and degrees in leadership. This includes the master's and doctoral programs in higher education leadership, sports leadership, and organizational leadership, and specializations offered within these degrees.
- b. Providing leadership and direction to the leadership Faculty.
- c. Developing and managing external academic partnerships.
- d. Developing and managing external marketing partnerships.

- e. Working collaboratively and strategically with the College of Graduate and Innovative Programs marketing personnel.
- f. Working with the graduate admissions staff to advise on student policies and concerns, student progress, and keeping Faculty informed regarding pertinent policy issues.
- g. Handling appeals to the graduate college on behalf of the dean, related to student programs, grade appeals, and other student related issues in leadership programs.
- h. Providing guidance and support to the Center for Global Outreach, Center for Literacy, Center for Policy Studies and Social Justice, and the English Language Institute.
- i. Providing oversight and direction for special projects, and reports for the Office of the Dean.
- j. Developing innovative, online leadership degree and non-degree programs, from concept and design, to delivery.
- k. Making administrative decisions, in collaboration with the Office of the Dean, that facilitate improvement of programs within the College of Graduate and Innovative Programs.
- l. Working collaboratively with colleagues within the College of Graduate and Innovative Programs and the University.
- m. Supporting and implementing administrative decisions that facilitate improvement of the College of Graduate and Innovative Programs graduate programs.
- n. Serve in the process of recruiting Faculty members.
- o. Serve on the College of Graduate and Innovative Programs and University committees.

### **3.2.8.3 ANNUAL EVALUATION OF THE COLLEGE DEANS**

- a. College Deans are evaluated annually to provide Faculty input for the continuation and reappointment of the position process. The evaluations will be made after the first year in office and annually in the Fall Semester thereafter. During the final year of the Dean's term, the Department of Human Resources will administer a 360 evaluation.
- b. The Senior Vice President for Academics will share the evaluation with the Dean and the President.

## **3.2.9 DEPARTMENTS OF THE COLLEGES**

### **3.2.9.1 DEPARTMENTS OF THE COLLEGES**

- a. Departments will be housed within the structure of the colleges as given below.

Departments will service the programs of all of the colleges.

- College of Arts and Sciences

Art

Communication/Theater

English

History/Political Science/Philosophy

Human Performance

Mathematics/Computer Science

Music

Natural Sciences/Geography

Psychology

Social Work

Sociology

Theology & Foreign Languages

- College of Business

Business

- College of Education

Christian Education

Teacher Education

- College of Graduate & Innovative Programs

Accelerated Degree Completion

Educational Leadership

Human Services

Leadership & Professional Studies

Learning Technology & Innovative Programs

Literacy and Early Childhood

Research

### **3.2.9.2 DEPARTMENT MEMBERSHIP**

- b. The Senior Vice President for Academics determines a Faculty member's membership in a department at the time of initial appointment, based on the Faculty member's discipline. A Faculty member may be appointed to two departments or may teach in multiple departments without being a member of each.

### **3.2.9.3 ESTABLISHMENT AND TERMINATION OF DEPARTMENTS**

- a. A department normally includes at least three full-time University Faculty members. .
- b. A new department may be created or a present department terminated by either of two methods, both of which must be reported to the Faculty Senate at some point during the process and before final implementation for discussion and non-binding recommendation.



Any one or more Faculty members may submit their request with appropriate rationale in writing to the Dean of the appropriate college. The Dean will present this request with their recommendation to the Senior Vice President for Academics. The Senior Vice President will take the request with their recommendation to the Academic Cabinet. The Academic Cabinet will make the final recommendation to the President for ratification.

Similarly the addition or termination process for an academic department may be initiated administratively. A Department Chair, Dean, or the Senior Vice President for Academics may initiate the request. This request is then processed in the same way that a Faculty member's request is handled, with the recommendations of each of these administrators being sought in the process.

### **3.2.9.4ROLE AND FUNCTION OF DEPARTMENTS**

- a. Participate in the selection of new Faculty members .
- b. Conduct curricular studies and make recommendations to the appropriate policies committee.
- c. Contribute to the preparation and implementation of the departmental budget.
- d. Assist in the determination of the course schedule for the various academic terms and the assignment of teaching loads within the department.
- e. Serve as a resource to the department chair and college deans in reappointments and terminations.
- f. Participate in regular meetings for the conduct of departmental matters.
- g. Engage in scholarship and discussions related to the discipline for the purpose of professional growth.
- h. Participate as appropriate in the academic advising of students.
- i. Regularly submit recommendations of books and other instructional materials to the library and provide suggestions and assistance to the library staff in the development and weeding of the library collections.

### **3.2.9.5SELECTION OF NEW DEPARTMENT CHAIRS**

- a. The appropriate dean (in consultation with the Senior Vice President for Academics) solicits nominations from the members of the department or conducts a search. If it is an existing department, department members are involved in the search. .
- b. The dean makes a recommendation to the Senior Vice President for Academics for appointment. The President, after consultation with the Senior Vice President for Academics, submits the appointment to the Board of Regents for approval.

### **3.2.9.6RESPONSIBILITIES OF THE DEPARTMENT CHAIRS**

The appointment of a department chair is for a two-year renewable term. The chair is responsible to the appropriate dean for Faculty, curriculum and instruction, and administration as described below:

- a. Provide vision and assume primary responsibility for initiation, development, implementation, and evaluation of all programs within the department.

- b. Work with the dean to project the staffing needs of the department.
- c. Coordinate the Search Committee for new Faculty positions in the department.
- d. Assess Faculty effectiveness and develop remediation plans as needed. The chair will make recommendations to the appropriate Peer Review Committee regarding a department member's application for contract renewal, tenure, and advancement in rank.
- e. Ensure maintenance of departmental records, including course prospectuses, Faculty files, documentation required to meet accreditation standards, and a list of adjunct Faculty.
- f. Ensure that program requirements are implemented and followed.
- g. In consultation with program coordinators, schedule classes and assign Faculty to teach those courses.
- h. Plan, schedule, keep records of, and preside at departmental meetings. When a position is filled, all notes and other interview materials made by department Faculty members and administrators must be turned in to the department chair, who is responsible to file them with the Office of the Director of Human Resources, for record retention in compliance with state and federal record retention laws.
- i. Prepare and manage the departmental budget.
- j. Approve and allocate departmental expenditures.

### **3.2.9.7 REAPPOINTMENT EVALUATION OF THE DEPARTMENT CHAIRS**

- a. The evaluation process is utilized to provide Faculty input for the reappointment process. The evaluations will be made after the first year in office and during the last year of any subsequent appointment.
- b. The entire department, with the exception of the department chair, will conduct the review/evaluation of the chair and report to the dean. The Senior Vice President for Academics and the chair of the review/evaluation committee will share the report with the department chair.

### **3.2.9.8 FILLING A FACULTY POSITION**

The filling of an open teaching position (either with a new hire or by reassignment/reclassification) shall use the following procedures:

- a. When a position opens or it is known a position will be opening, it is recommended that the college dean or his or her designee confer with Human Resources to discuss any background information about the position, the job description, job posting, skills sets, sourcing, Full Time or Part Time, benefit status, salary, etc.  
  
Prior to filing the *Faculty Hiring Request/Position Control Change Authorization* form the *Justification for a Faculty Position* [form](#) must be filed and approved.
- b. The college dean or his or her designee submits the *Faculty Hiring Request/Position Control Change Authorization* (click [here](#) for form) with the attached job description and job posting to initiate a personnel action.

Human Resources should be the repository of all current job descriptions by department and organization charts.

- c. The request should have upper level signature(s): Budget Control Officer, VP, President, Budget Services and Human Resources.
- d. The college dean or his or her designee should complete a justification for a new position plus the proposed job description and revenue source that will pay for the new position and submit to senior management for approval.
- e. Human Resources reviews the request and documentation and submits it to Budget Control and Finance for review and budget approval.
- f. Once all signatures are obtained, Human Resources posts the position internally and sources it externally: internal for 5 days then on external sites indicated on request form. External, or public, advertising shall include various Synodical publications and websites, including the Concordia University System Website [<http://www.lcms.org/cus>], the *Lutheran Witness*, and *The Reporter*.

Additional sites are possible. There may be a time delay between Human Resources receiving the requisition and the posting of up to 5-7 days.

- g. Applications are received electronically through the applicant tracking system and forwarded to the college dean or his or her designee. Internal applications can be received in Human Resources in hard copy also. Only those resumes of qualified internal and external candidates will be considered. All applicants, applications and resumes must be directed to Human Resources, where initial pre-screening of applicants is performed. Academic search committees may do this pre-screening under agreement from Human Resources.
- h. All candidates' initial letters of application, supporting documents, and references will receive e-mails of acknowledgement of receipt through the applicant tracking system.
- i. The college dean or his or her designee will appoint a search committee chair and members, subject to the dean's approval. The committee will develop a rubric of interview questions, a point system for consistent interviewing, and a search plan to interview candidates.
- j. A spreadsheet will be created for each search and posted to Blackboard with applicant attachments. Search committee members, the President and Senior Vice President for Academics will have access. The search committee chair will keep the dean and the Senior Vice President for Academics informed of the search progress.
- k. The search committee will choose the candidates to be brought in for an interview (generally three applicants).
- l. Human Resources and search committee should do first round interviews. Second round should be second level reviewers, peers, and others who will work with employee. Human Resources should contact applicants and arrange interviews. Human Resources should contact applicants to set up interviews.
- m. Academic candidates will also interview with the dean of the college and the Senior Vice President for Academics. The President must interview candidates for theology and science positions.

- n. Search Committees are expected to be fiscally responsible. They shall work with the Purchasing Department for travel, housing, and other arrangements to host an interviewee. Entertainment expenses shall follow guidelines for off-campus meals.
- o. Once interviews are complete, the dean or his or her designee will notify Human Relations of the top finalist(s). Search committee chairs notify Senior Vice President for Academics of the top finalist(s). Faculty candidates must be recommended by the search committee and college dean, to the Senior Vice President for Academics, who submits the finalist(s) to the President for approval.
- p. Human Resources will perform the background check. The normal turnaround is 5 days to get the results back.
- q. The Board of Regents has final approval for Faculty candidates. The Senior Vice President for Academics make all job offers to Faculty and prepares the contract.
- r. Human Resources will perform the background check. The normal turnaround is 5 days to get the results back.
- s. The search committee chair will collect all interview notes and submit them to Human Resources for the search file and required records retention.
- t. Non-Synodically rostered Faculty members shall be encouraged to become rostered through the Synodical colloquy program. The two means on campus are through campus classes and through CUEnet. On-campus courses are free to the Faculty member, but CUEnet courses carry a charge for such courses. Both routes prepare the candidate for the interview with the Colloquy Committee.

### **3.2.9 INSTALLATION OF ROSTERED FACULTY**

- 4.4.5.(d) Professors and instructional staff members: Ordained and commissioned ministers who are members of the Synod called or appointed to serve at the Synod's educational institutions as professors and instructional staff members shall be installed, in accordance with forms and practices developed by the Synod for that purpose, by the president of the district in which the institution is located, or by his representative<sup>15</sup>.

## **3.3. THE UNIVERSITY FACULTY**

### **3.3.1 INSTITUTIONAL EDUCATIONAL POLICIES<sup>16</sup>**

**Each Faculty shall recommend policy to the Board of Regents through the President for the admission, transfer, dismissal, or withdrawal of students, set the standards of scholarship to be maintained by students, determine criteria for graduation or failure, and act on recommendations in the matter of granting certificates, diplomas, and such academic or honorary degrees as may lawfully be conferred by the institution.**

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<sup>15</sup> This installation follows the protocol as determined by The Lutheran Church—Missouri Synod. See *2013 LCMS Handbook*, Section 4.4.3 (d).

<sup>16</sup> This section is based on the *2010 LCMS Handbook*, Section 3.10.5.6.10, pp. 179-180. It is no longer contained in the *2013 LCMS Handbook*, but remains policy until changed by the Faculty and Regents.

Each Faculty shall develop and construct curricula implementing the recognized and established purposes of the institution and designed to attain the synodically approved objectives of preparation for professional church workers and other Christian leaders approved by the Synod.

Each Faculty shall pursue the improvement of teaching and learning and the evaluation of their effectiveness in every segment of the institution and its curriculum.

Each Faculty shall recommend policy to the Board of Regents through the President regarding out-of-class life and activity of its students so that the co-curricular and off-campus activities of the student contribute to the attainment of the educational objectives of the institution. The Faculty shall recommend such policies as will be conducive to the cultivation of a Christian deportment on the part of all students, will stimulate the creation of a cultured and academically challenging atmosphere on and about the whole campus, and will make a spiritually wholesome community life possible.

Each Faculty shall recommend policy to the Board of Regents through the President regarding the maintenance of wholesome conditions of Faculty service and welfare.

The Faculty of each institution which prepares professional workers directly for service in the Synod shall conform its placement policies to the synodical provisions for the distribution of candidates and workers through the synodical Board of Assignments of the Synod.

The Board for University Education shall periodically review the institutional policies, programs, and curricula to determine whether they are consistent with the stated objectives of the Synod's educational system and its institutions.

### **3.3.2 FACULTY ORGANIZATION AND MEETINGS<sup>17</sup>**

The Board of Regents, on recommendation of the President of the institution, shall establish an effective Faculty organizational structure

The President or his designee shall preside at regular and special meetings.

The Faculty shall elect a secretary and provide for the election of committees, consisting of Faculty members or of Faculty members and other persons, who shall study, evaluate, and report to the Faculty on policy matters affecting the academic activity of the institution, the activity and welfare of the members of the Faculty, and the life and welfare of the students.

The Faculty shall elect a standing hearings committee or assign the functions of such a committee to another standing committee.

### **3.3.3 UNIVERSITY FACULTY MEETINGS**

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<sup>17</sup> Ibid.

The University Faculty meets at least once each term (including summer) and at the call of the chair. The chair shall call special meetings upon request of administrators, Faculty committees, colleges, departments, or ten percent of the University Faculty.

The following can place items on the agenda for the meetings: the chair, administrators, Faculty committees, colleges, departments, and/or ten percent of the University Faculty.

The President serves as chair of the University Faculty. In the President's absence, the Senior Vice President for Academics or his/her designee serves as chair.

The University Faculty elects the secretary.

The body determines the protocol for the meeting. Where the Faculty has not determined a protocol *Robert's Rules of Order (Newly Revised)*<sup>18</sup> will prevail.

### **3.3.3.1 UNIVERSITY FACULTY SECRETARY**

Function:

- Record the minutes of all University Faculty meetings.
- Upon review and approval of the President, publish the minutes in *Blackboard* that allows the Faculty to review and comment on the minutes within a given timeline.
- When published the university Faculty members and the President's Cabinet are notified via e-mail.
- Compose all correspondence between the University Faculty and other entities.

Membership:

- One University Faculty member

Term of office:

- Two years (from July 1)

Term Limits:

- Two consecutive terms

Method of Election:

- *Open consecutive balloting* by the University Faculty.

Not Eligible:

- The President
- Faculty on leave for one semester
- Faculty with non-renewed or one-year contracts
- Faculty who are retiring

(Not subject to the limitation that a Faculty member can only be elected to membership on either one policies committee and one University-wide committee or two University-wide elected committees).

### **3.3.3.2 FACULTY, COMMITTEES, COUNCILS, AND TASK FORCE MEETING PROTOCOLS AND PROCEDURES**

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<sup>18</sup> *Robert's Rules of Order Newly Revised*, 11<sup>th</sup> ed. (Cambridge, Mass.: Da Capo Press, 2011).

The University Faculty meetings, college Faculty meetings, and all Faculty committees, councils, and task forces shall follow the following procedures for the conduct and recording of such meetings. These procedures may be adjusted in cases where privileged information is being handled, in consultation with the Director of Human Resources (if the matter involves a specific personnel issue) or the Vice President for Student Life (if the matter involves a specific student issue).<sup>19</sup>

Each meeting agenda and related materials shall be distributed through e-mail or other electronic medium at least seven calendar days prior to the meeting to all regular Faculty members and members of the President's Cabinet. If circumstances do not permit the seven calendar days' lead time, it shall be so stated, together with the reason for urgency, in the release of the agenda and related materials. Any Faculty member may respond in writing by e-mail or other media to the chair or secretary of the group to provide any response or advice. Such information received shall be made available to the members of the group meeting at the time of the meeting. As an alternate, any member of the Faculty may attend such meeting and be provided an opportunity to speak to the agenda when recognized by the chair. The chair shall make every reasonable effort provide all persons so inclined opportunity to speak at a meeting.

Each group shall undertake its business in meetings following any rules that it may have from adopted. In the instance where no rule has been adopted by the group fitting the specific circumstance, *Robert's Rules of Order Newly Revised* (based on 11<sup>th</sup> Edition) shall prevail.

Meetings can be held face to face, electronically, or in combination. Each person at any meeting shall be able to communicate synchronously with the entire group voting on any issue, and such person shall be able to hear all persons at the meeting, when recognized by the chair. If circumstances require, any person may be brought into a meeting electronically. Only members attending the meeting, whether physically or virtually, are eligible to vote.

Agenda, supporting materials, and minutes shall be made available electronically to all regular Faculty and members of the President's Cabinet. Minutes will be made available four business days after the end of the meeting. The demur period shall begin upon the electronic distribution of the minutes. Retention of all minutes and reference materials shall be ensured by the office of Senior Vice President for Academics for the required retention period of such minutes and related materials. Faculty shall be notified of the availability of meeting minutes.

### **3.3.4 COMMITTEES AND COUNCILS OF THE UNIVERSITY FACULTY**

#### **3.3.4.1 DEFINITIONS**

- a. *Member of the Faculty: for purposes of election of and service on elected committees, a Faculty member is defined as a person who has served as a full time Faculty for the university at least one year. This includes Faculty on multiple-year, renewable contracts designated as visiting Faculty. It does not include Faculty on one-year contracts and adjunct Faculty.*
- b. *Committee : a policy and decision making group of elected individuals that meet on an ongoing basis.*

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<sup>19</sup> The Director of Human Resources (for specific personnel issues) or the Vice President for Student Life (for specific student issues) must be consulted and will (in consultation with the University attorney if he or she deems it necessary) advise on appropriateness, who should be present, the nature of the record of the meeting (minutes, recordings, etc.), and what information should be released following the meeting.

- c. *Council: an advisory group of individuals either elected or appointed that meet on an ongoing basis.*
- d. *Task Force: an advisory group of individuals who are appointed to make recommendations on a particular issue. This group is intended to be a short-term entity. A Task Force may be appointed by the President, vice-presidents, deans of colleges, and policies committees or councils.*
- e. *Joint: A term applied if more than one classification (staff, Faculty, students) are included in the group.*
- f. *Tribunal: a judicatory group that may impose previously determined sanctions on the campus community violators of campus traffic and parking regulations, and any other specific area that may be determined from time to time. In no circumstance may a tribunal be involved in any personnel issues of Faculty, staff, or students. The Tribunal has representation from Faculty, staff, and students. Each group represented determines its own method of electing or selecting their respective representation on the Tribunal.*

### **3.3.4.2 ELIGIBILITY AND MEMBERSHIP LIMITATIONS ON COMMITTEES AND COUNCILS**

- a. Faculty members may not hold membership on more than two elected University or college committees, but they may not hold membership on more than one University or college policy committee.
- b. Faculty members who will be on leave for one semester in any one academic year are removed from all elections for the entire academic year in which the leave takes place. They are also removed from any committees for the semester they are on leave. Faculty members on leave for one-half time each semester have the option of serving out their terms and/or being placed on ballots. Other leaves do not necessarily eliminate the Faculty member from ballots.
- c. Faculty members retiring before or during the next school year should not be placed on ballots.
- d. Faculty members with non-renewed and/or one-year contracts should not be placed on ballots.
- e. Deans are *ex officio* members of their college's policies committee and hence are not eligible for any other policies committee.
- f. The President and Senior Vice President for Academics are *ex officio* members of all policies committees and all University-wide elected committees and hence are not placed on any such ballot. NOTE: They vote on any University-wide election but not on college specific elections.
- g. The Dean of Students is an *ex officio* member of the Student Life Policies Committee and hence is not eligible for any other policies committee.
- h. The Registrar is not eligible for election to a policies committee because the Registrar is already an advisory<sup>20</sup> member.
- i. The Chair of the Faculty Senate is not eligible to serve on any Faculty committee during the term as chair.

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<sup>20</sup> Advisory members of any Faculty committee, council or task force are non-voting members of the group.



- j. For those committees with consecutive term limits, an election to a committee for a partial term replacement counts as a full term.

#### **3.3.4.3 GENERAL REGULATIONS FOR COMMITTEES**

- a. The President and the Senior Vice President for Academics are *ex officio* members of all University-wide committees. They are to be notified of all committee meetings, and are to receive the minutes of all committee meetings.
- b. All committees report orally or in writing at least once a year to the Senior Vice President for Academics, who may include the reports in the Faculty Seminar program book.
- c. All committee members serve until their terms expire or, in the event of a delayed election, until their successors are chosen. Official committee membership and terms of office shall be kept on file in the office of the Senior Vice President for Academics. The Faculty shall receive this list annually.
- d. Regular elected and appointed members of a committee shall attend meetings of the committee unless they have excused the absence to the chair.
- e. *Ex officio* and advisory members of a committee do not have the right to vote in committee sessions and shall not be counted when establishing a quorum.
- f. Vacancies due to termination or leave of more than one semester will be replaced by election in the same manner as normal elections for that committee. In the case of leaves, the replacement will serve only until the original Faculty member returns from the leave.
- g. All full-time tenure-track Faculty members are eligible to be elected to any committee unless they are an *ex officio* member of that committee or are ineligible because of specific restrictions stated in the *Faculty Handbook* under the committee regulations.
- h. Terms of office begin for all committees on July 1 and expire on June 30 of the appropriate years.

#### **3.3.4.4 BALLOTING**

- a. All elections are handled by electronic balloting . All committee elections are conducted by open balloting of all persons eligible for the positions to be elected. Election data are collected and stored based on the University's Record Retention Policy. Faculty members can indicate on which committees/councils they would like to serve. In January, the chair of the Senate will solicit this information from Faculty members. This will be indicated on the ballots. For membership on a committee, a Faculty member must receive a majority of the ballots cast.
- b. All elections are run by consecutive balloting of all persons eligible for the positions to be elected. A person is elected if he or she receives more than 50% of the votes cast on a particular ballot. In the event that more than the required number of nominees receives 50%, those with the most votes are the winners.
- c. Each successive ballot contains the names of enough Faculty members whose cumulative votes account for at least 50 % of the votes cast on the previous ballot.
- d. All open elections are run simultaneously. Usually after two ballots, Faculty members remaining on more than one ballot are asked to select which ballot they wish to have their name remain.

Likewise, Faculty members remaining on any ballot who are eligible for re-election to another committee are asked to choose on which ballot they wish to remain.

- e. Final results of all elections are reported in writing to the Senior Vice President of Academics with a copy going to both the chair of the Nominations and Elections Committee and the President.
- f. All Faculty elections are conducted by an election coordinator (appointed staff) under the supervision of the Faculty election officer.

### **3.3.4.5 ELECTIONS OFFICER**

Function:

- The Elections Officer supervises all elections of the Faculty. He/she works with an appointed election staff assistant who conducts the elections electronically. The elections officer keeps an up-to-date listing of all Faculty and their eligibility.
- Types of elections in Faculty that must be held through elections officer:
  - policy committees
  - councils (including peer review)
  - special elections
  - Faculty officers
  - internal college elections
  - special requests from Faculty Senate
- Keep up-to-date records of current Faculty service on any committees, councils, and task forces on which Faculty serve.
- Keeping record of Faculty interest and willingness to serve on specific committees, councils, and task forces.

Term of Office:

- Three years (from July 1).

Term Limits:

- None.

Method of election:

- Open consecutive balloting of all University Faculty.

Not eligible for election:

- President, Vice Presidents, Assistant Vice Presidents, Deans, Associate Deans, and Assistant Deans.
- Faculty on leave for one semester (sabbatical, study, etc.).
- Faculty with non-renewed or one-year contracts.
- Faculty who are retiring.

### **3.3.5 ACADEMIC POLICIES COMMITTEES**

There is a policies committee for each of the colleges, and the Senate functions as a University Policies Committee. These committees will develop and improve the curriculum and propose changes in policy related to appropriate academic programs of the University. All actions, after the demur process is completed, are reported to the Faculty. Recommendations to the college policies committees may be submitted by the President, vice presidents, the dean of colleges, committees within and outside the college, departments, or ten percent of the college Faculty.

College policies committees must eventually act upon all proposals submitted to the committee, though the committee may refer a proposal back to the originator(s) for clarification.

### **3.3.5.1 DEMUR POLICY**

The President, the vice presidents, the deans, policies committees, forty percent of the relevant college Faculty, or twenty percent of the voting University Faculty can initiate a demur process according to the following procedure:

- a. Agendas for the policies committees (including the Senate functioning as a policy committee) are to be sent to the President, the vice presidents, the deans, the department chairs, and the Registrar.
- b. Minutes of the policy committees are to be sent to all full-time Faculty and administrators.
- c. Any authorized individual or group of individuals wishing to demur on any action of a policy committee must send the demur and rationale in writing to the appropriate policy committee chair within ten working days of the distribution of the minutes of the policies committee that verify that action. This written document must contain the actual and/or facsimile signatures of the individuals making the demur. Signatories to the demur must be expressly opposed to the proposed action for the reasons presented in the demur statement.
- d. The demurrer(s) will meet with the policies committee and the originators of the policy in question in an attempt to resolve the differences *within ten (10) days of the submission of the demur to the committee chair*. If the majority of the demurrer(s) present at that meeting agree that the demur is rescinded or that an appropriate modification to the policy has been agreed upon, then the demur is settled. If the demur is not rescinded following this meeting, one of two courses of action will follow:
  - If the demur comes from Faculty or administration outside the college represented by the policies committee, the action and demur will be submitted to the University Faculty for resolution within two (2) weeks of the meeting of the demurrer(s) and the committee.
  - If the demur comes from Faculty or administration within the college(s) represented by the policies committee, the action and demur will be submitted to the Faculty of that body for resolution within two (2) weeks of the meeting of the demurrer(s) and the committee.
  - Resolution of a demur may involve Faculty meetings and electronic balloting if needed.
- e. Any change in the original action of the policies committee must be resubmitted for possible demur following the process given above.

### **3.3.6 FACULTY SENATE**

#### **3.3.6.1 FUNCTION**

1. Develop and improve the curriculum and propose changes in policy that are beyond the supervision of a single college. (It functions as the University Policies Committee.) All actions, after the demur process is completed, are reported to the Faculty. .
2. The actions of the Faculty Senate are subject to the Demur policy as described for the policies committees.
3. Receive proposed drafts of actions to initiate or terminate programs from relevant policies committees before the final recommendation is made. The Senate, at its discretion, will

make recommendations for changes and/or support of, or objection to, the proposal. The proposal will then return to the appropriate policies committee for action.

4. Review, study, and recommend policy related to 1) the institutional mission statement, curriculum, and pedagogical practices, and 2) requirements regarding admission, graduation, and general program standards.

5. *Faculty Handbook*

- In general the process for introducing new additions, deletions, major corrections, or changes to the *Faculty Handbook* follows the general pattern as follows:

- If the adjustment is required for an academic issue, a Faculty member, department, program, chair, University administrator, accrediting agency, governmental agency, legal counsel, or a board of The Lutheran Church—Missouri Synod may prompt the process. The proposed adjustment is brought to the appropriate Dean, who will *ratify* the proposal and send it to the *Faculty Handbook* Task Force. The Task Force will *support* the adjustment and present it to the Faculty Senate. The Senate will *endorse* the adjustment and send it to the Academic Cabinet, who will *approve* the adjustment and send it to the Senior Vice President for Academics. The Senior Vice President for Academics will *present* the adjustment to the President, who will *recommend* the adjustment to the Board of Regents, who will *adopt* the change.
- If the adjustment is required for an administrative issue, the administrator will present the proposed change to the President's Cabinet, who will *confirm* the adjustment. The change will then be presented to the Faculty Handbook Task Force, who will advocate the change and present it to the Faculty Senate, who will *endorse*. It is then presented to the Academic Cabinet who will *advance* the proposal, and sent it to the Senior Vice President for Academics. The Senior Vice President for Academics will *release* the proposal to the President, who will *recommend* it to the Board of Regents, who is asked to *adopt* the proposal.

Should any individual or group in the preceding process decide not to take affirmative action, the process is interrupted at that point and goes backward for negotiation and resolution. Upon resolution the process then continues through to fruition.

6. Review, study, and recommend policy related to the overall well-being of the Faculty and related to University issues that affect academic affairs. The Senate handles issues pertaining to the welfare of the Faculty in general and appoints (through the chair) a task force to handle issues pertaining to individual Faculty members.
7. Serve as a public forum to facilitate discussion of topics that affect the University, based on the information provided to it. The chair of the Senate may request that a vice president (or his/her representative) attend a Senate forum to discuss University issues.
8. Review policies relating to the life of the students to ensure compliance with the Synodical and *Faculty Handbooks* concerning the responsibilities of the Faculty towards student life.
9. Appoint task forces as needed whose responsibility is to the Senate.

### **3.3.6.2 MEETINGS**

The Senate normally meets monthly or as workload dictates.

### **3.3.6.3 MEMBERSHIP**

1. Chairperson elected from the full-time tenure-track Faculty at large by the full-time Faculty.
2. There are fourteen senators in addition to the chair, elected from the College of Business, the College of Arts & Sciences, the College of Education, and the College of Graduate and Innovative Programs in proportion to the number of voting Faculty members holding an assignment to the respective college.
3. Senior Vice President for Academics, *ex officio*

### **3.3.6.4 TERM OF OFFICE**

1. Chairperson and senators are elected to two-year staggered terms, each member serving no more than two consecutive terms.
2. Term of office begins on July 1.

### **3.3.6.5 METHOD OF SELECTION**

1. The chairperson will be elected by the University full-time tenure-track Faculty. Election shall be by open ballot where all eligible full-time tenure-track Faculty members are listed on the initial ballot. This election is the first in each new election season that involves this position. The person elected will have the option of removing his/her name from the ballots of the various policies committees.
2. Senators will be elected by the University full-time tenure-track Faculty. Elections shall be by open ballot where all eligible full-time Faculty members are listed.
3. Not eligible for election:
  - President, VPs
  - Faculty on leave for one semester (sabbatical, study, etc.)
  - Faculty with non-renewed or one-year contracts
  - Faculty who are retiring

## **3.3.7 COLLEGE POLICIES COMMITTEES**

### **3.3.7.1 ARTS AND SCIENCES POLICIES COMMITTEE (ASPC)**

#### **3.3.7.1.1 FUNCTION**

- The committee supervises curriculum, proposes policy changes, and approves and may review undergraduate academic programs related to the appropriate undergraduate academic programs of the departments of the College of Arts and Sciences.
- The committee may also appoint task forces whose responsibility would be to this committee.

#### **3.3.7.1.2 MEMBERSHIP**

- Six Faculty members from departments within the college of Arts and Sciences
- *Ex officio*: The Dean of the College, Senior Vice President for Academics
- Advisory: The Registrar or his/her representative

#### **3.3.7.1.3 TERM OF OFFICE**

- Three year staggered terms (from July 1)

#### **3.3.7.1.4 TERM LIMITS**

- Two consecutive terms

#### **3.3.7.1.5 METHOD OF ELECTION**

- Open consecutive balloting

#### **3.3.7.1.6 VOTERS**

- All full-time tenure-track College of Arts and Sciences Faculty

#### **3.3.7.1.7 NOT ELIGIBLE FOR ELECTION**

- All Vice Presidents, Associate Vice Presidents, Assistant Vice Presidents, Deans, Associate Deans, Assistant Deans, and Registrar
- Faculty on leave for one semester (sabbatical, study, etc.), Faculty on sabbatical or other leave at time of election. Faculty going on sabbatical or other leave while serving elected term are off Committee during leave, return to Committee upon return from leave. Absence from Committee during any leave does not extend term for which elected Faculty with non-renewed or one-year contracts.
- Faculty who are retiring are eligible for election to serve until date of retirement
- Faculty on two University-wide elected committees
- Faculty who are already elected to another policy committee

### **3.3.7.2 BUSINESS POLICIES COMMITTEE (BPC)**

#### **3.3.7.2.1 FUNCTION**

- The committee supervises curriculum, proposes policy changes, and approves and may review undergraduate academic programs of the departments of the College of Business.
- The committee may also establish subcommittees whose responsibility would be to this committee.

#### **3.3.7.2.2 MEMBERSHIP**

- One member from the College of Arts & Sciences
- Two members from the College of Graduate & Innovative Programs
- Three members from the College of Business
- *Ex officio*: The Dean of the College
- Advisory: The Registrar or his/her representative

### **3.3.7.2.3 TERM OF OFFICE**

- Three year staggered terms (from July 1)

### **3.3.7.2.4 TERM LIMITS**

- Two consecutive terms

### **3.3.7.2.5 METHOD OF ELECTION**

- Open consecutive balloting

### **3.3.7.2.6 VOTERS**

- Each college votes for their BPC members
- College of Business full-time tenure-track College of Faculty members vote for all members

### **3.3.7.2.7 NOT ELIGIBLE FOR ELECTION**

- All Vice Presidents, Associate Vice Presidents, Assistant Vice Presidents, Deans, Associate Deans, Assistant Deans, and Registrar
- Faculty on leave for one semester (sabbatical, study, etc.). Faculty on sabbatical or other leave at time of election. Faculty going on sabbatical or other leave while serving elected term are off Committee during leave, return to Committee upon return from leave. Absence from Committee during any leave does not extend term for which elected. Faculty with non-renewed or one-year contracts.
- Faculty who are retiring are eligible for election to serve until date of retirement
- Faculty on two University-wide elected committees
- Faculty who are already elected to another policy committee.

## **3.3.7.3 EDUCATION POLICIES COMMITTEE (EPC)**

### **3.3.7.3.1 FUNCTION**

- The committee supervises curriculum, proposes policy changes, and approves and may review undergraduate academic programs of the College of Education.
- The committee may also appoint task forces whose responsibility is to this committee.

### **3.3.7.3.2 MEMBERSHIP**

- Three members of the College of Education Faculty
- One member of the College of Arts & Sciences who is regularly assigned to teach a methods course
- One member of the College of Graduate and Innovative Programs who regularly teaches an advanced level course in education
- Advisory: The Registrar or his/her representative
- *Ex officio*: The Dean of the College, Senior Vice President for Academics

### **3.3.7.3.3 TERM OF OFFICE**

- Three year staggered terms (from July 1)

#### **3.3.7.3.4 TERM LIMITS**

- Two consecutive terms

#### **3.3.7.3.5 METHOD OF ELECTION**

- Open consecutive balloting

#### **3.3.7.3.6 VOTERS**

- All full-time tenure-track College of Education Faculty

#### **3.3.7.3.7 NOT ELIGIBLE FOR ELECTION**

- All Vice Presidents, Associate Vice Presidents, Assistant Vice Presidents, Deans, Associate Deans, Assistant Deans, and Registrar
- Faculty on leave for one semester (sabbatical, study, etc.). Faculty on sabbatical or other leave at time of election. Faculty going on sabbatical or other leave while serving elected term are off Committee during leave, return to Committee upon return from leave. Absence from Committee during any leave does not extend term for which elected. Faculty with non-renewed or one-year contracts
- Faculty who are retiring are eligible for election to serve until date of retirement
- Faculty on two University-wide elected committees
- Faculty who are already elected to another policy committee.

### **3.3.7.4 GRADUATE & INNOVATIVE PROGRAMS POLICIES COMMITTEE (GIPPC)**

#### **3.3.7.4.1 FUNCTION**

- The committee supervises curriculum and proposes policy changes related to graduate academic programs.
- The committee may also establish subcommittees whose responsibility would be to this committee.
- The committee approves innovative programs within the college and reviews the program after five (5) years. At this time the experimental program has 1) met the more stringent criteria of regular programs and becomes a regular program of the college, 2) is continued as an experimental program for a specified period of time before it is reviewed again, or 3) is dropped from the University as current students complete the program.

#### **3.3.7.4.2 MEMBERSHIP**

- Three graduate Faculty members from the College of Graduate & Innovative Programs
- One graduate Faculty member from the College of Arts and Sciences
- One graduate Faculty member from the College of Business
- One graduate Faculty member from the College of Education
- *Ex officio*: The Senior Vice President for Academics or his/her representative, Dean of Graduate School and Innovative Programs
- Advisory: The Registrar or his/her representative



#### **3.3.7.4.3 TERM OF OFFICE**

- Three year staggered terms (from July 1)

#### **3.3.7.4.4 TERM LIMITS**

- Two consecutive terms

#### **3.3.7.4.5 METHOD OF ELECTION**

- Open consecutive balloting

#### **3.3.7.4.6 VOTERS**

- All full-time tenure-track College of Graduate Studies Faculty

#### **3.3.7.4.7 NOT ELIGIBLE FOR ELECTION**

- All Vice Presidents, Assistant Vice Presidents, Deans, Associate Deans, Assistant Deans, and Registrar
- Faculty on leave for one semester (sabbatical, study, etc.). Faculty on sabbatical or other leave at time of election. Faculty going on sabbatical or other leave while serving elected term are off Committee during leave, return to Committee upon return from leave. Absence from Committee during any leave does not extend term for which elected. Faculty with non-renewed or one-year contracts.
- Faculty who are retiring are eligible for election to serve until date of retirement
- Faculty on two University-wide elected committees
- Faculty who are already elected to another policy committee.

### **3.3.7.5 STUDENT LIFE POLICIES COMMITTEE (SLPC)**

#### **3.3.7.5.1 FUNCTION**

- The committee initiates, develops, and proposes to the Faculty policies, standards, and programs relating to the life of students.
- The committee elects its own chair and secretary from the elected Faculty membership of the committee.
- All policy recommendations endorsed by the Plenary Faculty are reported to the President

#### **3.3.7.5.2 MEMBERSHIP**

- Five members of the teaching Faculty, each of whom must be from different academic departments
- Each College shall have at least one Faculty member representative on this committee
- Four full-time undergraduate students and one full-time graduate student representing the student body, at least two of whom have senior college standing
- *Ex officio* member: Dean of Students

#### **3.3.7.5.3 TERM OF OFFICE**

- Three years (from July 1)

- Students serve one year terms and may succeed themselves once

#### **3.3.7.5.4 TERM LIMITS**

- Two consecutive terms

#### **3.3.7.5.5 METHOD OF ELECTION**

- Open Ballot
- Terms are staggered
- Students are selected by students

#### **3.3.7.5.6 VOTERS**

- All full-time tenure-track University Faculty

#### **3.3.7.5.7 NOT ELIGIBLE FOR ELECTION**

- President, Vice Presidents, Deans, Assistant Vice Presidents, Deans, Associate Deans, Registrar
- Faculty with non-renewed or one year contracts
- Faculty who are retiring are eligible for election to serve until date of retirement
- Faculty on two University-wide elected committees

### **3.3.7.6 PROFESSIONAL EDUCATION POLICIES COMMITTEE (PEPC)**

#### **3.3.7.6.1 FUNCTION**

- Provide a single “educational unit” as defined by CAEP
- Approve all academic policies that impact initial or advanced certification programs of the University
- Provide a final review of policies that have been previously approved by the individual college policies committees

#### **3.3.7.6.2 MEMBERSHIP**

- Chair of all four college policies committees
- Associate Vice President for Academics
- *Ex officio* members: Senior Vice President for Academics and the four College Deans

#### **3.3.7.6.3 TERMS OF OFFICE**

- Automatically determined by persons filling prescribed positions for membership

#### **3.3.7.6.4 TERM LIMITS**

- No term limits

#### **3.3.7.6.5 METHOD OF ELECTION**

- Determined by election or selection for filling required positions on this Committee

#### **3.3.7.6.6 VOTERS**

- Determined by method of election or selection for required positions

#### **3.3.7.6.7 NOT ELIGIBLE FOR ELECTION**

- All persons not filling required positions for membership on Committee

#### **3.3.7.6.8 MEETING PROTOCOLS**

- Initial meeting on a topic is held electronically, using a consent agenda
- If any item on the electronic consent agenda is removed by any of the five members or by one of the *ex officio* members then the Senior Vice President for Academics will schedule a face-to-face meeting and list the agenda after the posted date and time

### **3.3.8 OTHER FACULTY COMMITTEES AND COUNCILS**

#### **3.3.8.1 FACULTY GROWTH AND DEVELOPMENT COUNCIL**

##### **3.3.8.1.1 FUNCTION:**

- The Faculty Growth and Development Council is an advisory council to the Senior Vice President for Academics.
- This council is responsible to plan and execute the Faculty Fall Seminar, including planning the program, selecting guest speakers, and arranging for devotions, and will recommend and develop follow-up experiences as necessary.
- The council organizes the annual Fall Faculty Seminar during which the teaching Faculty of the University meets before the beginning of the fall semester to discuss, hear presentations, and receive the advice of guest speakers on matters of current academic interest or importance to the University. Members of the administrative staff may be invited to attend the seminar as resource persons or interested observers.
- The chair of the council, elected by the council membership, works with an administrative assistant who arranges for guest speakers, media rentals, and other materials; reserves or rents facilities; arranges for housing and transportation; arranges for meals and prepares program materials through the appropriate administrative support staff. The administrative assistant provides the Faculty with appropriate information relative to dates, locations, and preparations for the seminar.
- This council will recommend and develop Faculty professional development opportunities that may include lectures, forums, workshops, seminars, publications, and growth plans for the Faculty as a whole. This council will formulate comprehensive plans and propose pertinent recommendations to the Senior Vice-President for Academics and other appropriate bodies and will enlist staff to carry out administrative, secretarial, and record-keeping tasks.

##### **3.3.8.1.2 MEMBERSHIP**

- One Faculty member from the College of Business

- One Faculty members from the College of Education
- Two Faculty members from the College of Arts and Sciences
- Two Faculty members from the College of Graduate and Innovative Programs

#### **3.3.8.1.3 TERM OF OFFICE**

- Two years (from July 1)

#### **3.3.8.1.4 TERM LIMITS**

- Two consecutive terms

#### **3.3.8.1.5 METHOD OF ELECTION**

- Open ballot
- Terms are staggered

#### **3.3.8.1.6 VOTERS**

- All full-time tenure-track University Faculty

#### **3.3.8.1.7 NOT ELIGIBLE FOR ELECTION**

- President, Vice Presidents, Assistant or Associate Vice Presidents
- Faculty with non-renewed or one-year contracts
- Faculty who are retiring are eligible for election to serve until date of retirement
- Faculty on two University-wide elected committees

### **3.3.8.2 FACULTY WELFARE TASK FORCE**

#### **3.3.8.2.1 FUNCTION**

- The task force considers matters affecting Faculty service and welfare. The task force
  - (1) reports directly to the University Faculty any of these matters which the task force feels require full Faculty discussion and action,
  - (2) formulates proposed policy which may be submitted to the University Faculty for action; and,
  - (Such activity by the task force does not preclude or replace Sections 4.9., 4.9.1., or 4.9.2. of this *Handbook*). The task force has the right to present concerns of the Faculty to the administration without prior Faculty discussion or action.
- The task force may receive matters of Faculty welfare by Faculty resolution or by written communication from individual members of the Faculty, addressed to the chair of the Senate.
- The Faculty Welfare Task Force will serve as the appeals committee for any Faculty member who wishes to contest the intention to be released under the RIF policy (see Section 5.5).

#### **3.3.8.2.2 MEMBERSHIP**

- Appointed by Senate
- One Faculty member from the College of Business
- One Faculty member from the College of Education
- Two Faculty members from the College of Arts and Sciences

- Two Faculty members from the College of Graduate and Innovative Programs
- At least two should be tenured Faculty
- The Chair is elected from the Committee and must be tenured

#### **3.3.8.2.3 TERM LIMITS**

- Satisfactory resolution of the issue for which they are appointed

#### **3.3.8.2.4 NOT ELIGIBLE FOR SELECTION**

- President, Vice Presidents, Assistant Vice Presidents, Deans, Associate Deans, Assistant Deans, Registrar
- Faculty with non-renewed or one year contracts
- Faculty on leave

#### **3.3.8.2.5 TERMS OF OFFICE**

Determined by Senate at time of appointment

#### **3.3.8.2.6 METHOD OF ELECTION**

Open ballot, terms are staggered.

### **3.3.8.3 FACULTY ADVISORY REPRESENTATIVE TO SYNODICAL CONVENTIONS**

#### **3.3.8.3.1 FUNCTION**

- This representation is elected eighteen (18) months before each Synodical Convention and is responsible for the study and disposition of previously submitted overtures at past conventions and to receive and study overtures from the Faculty for the next Synodical Convention. It makes recommendations concerning these overtures to the Faculty.
- The committee organizes itself.

#### **3.3.8.3.2 MEMBERSHIP**

- One Synodically rostered Faculty member

Each educational institution of the Synod shall be represented at conventions of the Synod.

(a) Educational institutions of the Synod shall be represented by one board member in addition to the district president, by their presidents, and by one Faculty member for every 30 Faculty members who are members of the Synod.<sup>21</sup>

(b) Fractional groupings shall be disregarded<sup>22</sup>.

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<sup>21</sup> 2013 LCMS Handbook, Section 3.1.4.2 (p. 103).

<sup>22</sup> 2013 LCMS Handbook, section 3.1.4.2.

#### **3.3.8.3.3 TERM OF OFFICE**

- From the date of election through the provision of any final report to the Faculty regarding the convention.

#### **3.3.8.3.4 TERM LIMITS**

- One term

#### **3.3.8.3.5 METHOD OF ELECTION**

- Open ballot
- University delegates to the Synodical convention are chosen from the top three ranks of the Faculty who are members of the Synod. Consecutive ballots reduce the election to six persons, two from each rank. The top vote getters serve as delegates; the runners-up serve as alternates in order of votes, without regard to rank. The delegates and alternates serve as the University's Faculty Synodical Resolution Committee.
- Restrictions of Section 3.4.2.a of this *Handbook* do not apply to membership on this committee.

#### **3.3.8.3.6 VOTERS**

- All full-time tenure-track University Faculty

#### **3.3.8.3.7 NOT ELIGIBLE FOR ELECTION**

- President, Vice Presidents, Associate Vice Presidents
- Faculty who have served as delegates to previous Synodical Conventions.
- Faculty on leave for one semester (sabbatical, study, etc.)
- Faculty with non-renewed or one-year contracts
- Faculty who are retiring prior to the conclusion of the Synodical Convention
- Faculty who are not members of the Synod

### **3.3.8.4 DISTINGUISHED AWARDS COMMITTEE**

#### **3.3.8.4.1 FUNCTION**

- The council recommends policy regarding honorary degrees and other Faculty honors and awards, and recommends candidates to the Faculty, including recommendations for Distinguished Professor designation.
- The committee determines its organization.
- After awards have been recommended by the plenary Faculty, the President presents the recommendations to the Board of Regents for approval.

#### **3.3.8.4.2 MEMBERSHIP**

- Three members elected by the University Faculty

#### **3.3.8.4.3 TERM OF OFFICE**

- Three years (from July 1)

#### **3.3.8.4.4 TERM LIMITS**

- Two consecutive

#### **3.3.8.4.5 METHOD OF ELECTION**

- One elected each year

#### **3.3.8.4.6 VOTERS**

- All full-time tenure-track University Faculty

#### **3.3.8.4.7 NOT ELIGIBLE FOR ELECTION**

- President, Vice President, Associate Vice Presidents
- Faculty on leave for one semester (sabbatical, study, etc.)
- Faculty with non-renewed or one-year contracts
- Faculty who are retiring
- Faculty on one policies committee and one University-wide elected committee
- Faculty on two University-wide elected committees

### **3.3.8.5 AWARDING OF HONORARY AWARDS AND DEGREES**

The purpose of granting honorary awards and degrees by Concordia University Chicago is to recognize in a tangible manner outstanding and distinctive contributions by individuals to the cause of Christian education. These contributions fall into one or more of the following areas: scholarly research, publications, the arts, teaching competence, administrative leadership, creativeness in educational thought and action, and in parish services. Honorees' contributions should not advocate positions contrary to Synodical teachings

Honorary awards and degrees fall into four categories: The Spiritus Christi Medallion, the Honorary Doctor of Letters (Litt.D.) or the Doctor of Laws (LL.D.), and the Alumnus of the Year Award.

The criteria for selection of candidates for all honorary awards and degrees are as follows:

- a. The Spiritus Christi Medallion  
The University awards this honor to such persons who have performed in their designated spheres of responsibility with unusual effectiveness and influence and with the highest quality of service to the Church. The services and contributions of such persons will ordinarily have been given within their immediate or civic community or within their somewhat larger Synodical district and/or civil state.
- b. The Honorary Doctor of letters and Doctor of Laws  
The University awards this honor to a restricted number of candidates each academic year, providing a qualified candidate is nominated.

The University awards this honor to that person who has made an outstanding contribution to Christian education through one of the following:

- Doctor of Letters: scholarly research and publications
- Doctor of Laws: teaching competence, administrative leadership, and creativity in educational thought and action.

The service and contribution of the candidate are to be of such a nature and scope that these are widely recognized and appreciated in the Church and or in the nation.

c. The Alumnus of the Year Award

The University awards this honor to recognize alumni whose service to the church and their community has brought honor to Concordia University.

d. Nominations

Nominations for any of the awards are to be submitted to the Distinguished Awards Committee. Information regarding nominees is to be submitted according to the following pattern:

- Personal data
- Education and training
- Professional experience
- Educational contributions
- Honors, memberships, other

All nominations are to include a statement of reasons for nominating the respective candidates.

Each year the Distinguished Awards Committee will announce information and directives relative to nominations for honorary awards and degrees.

e. Procedures for Selection of Candidates for Honorary Awards and Degrees:

The Distinguished Awards Committee makes a preliminary selection from the list of nominees submitted by the Faculty. The Committee submits the list of candidates and their qualifications to the Faculty without comment or discussion.

The Distinguished Awards Committee subsequently will conduct open hearings concerning the announced list of candidates. The open hearings provide opportunity for Faculty members to respond to the Distinguished Awards Committee selections. Following the open hearings, the Distinguished Awards Committee will submit its final list of candidates to the Faculty and the Faculty will make its selection by ballot. A majority of votes cast is necessary for the conferring of the award or degree. All recommendations for honorary awards are submitted to the Board of Regents for their approval.

### **3.3.8.6 STRATEGIC PLANNING COUNCIL (SPC)**

#### **3.3.8.6.1 FUNCTION**

- The Planning Council exists as a Presidential Council. The council assists with strategic planning efforts. Faculty representation is integral.

#### **3.3.8.6.2 MEMBERSHIP**

- No less than two Faculty members.

#### **3.3.8.6.3 TERM LIMIT**

- One Two-year
- Annual appointment by the President

#### **3.3.8.6.4 METHOD OF SELECTION**

- Open consecutive balloting of all University Faculty



- Faculty elects six (6) Faculty members as a slate to be submitted to the President of the University
- President appoints members from this slate, at his discretion
- Vacancies shall be filled by the President from the elected slate as needed.

#### **3.3.8.6.5 NOT ELIGIBLE FOR ELECTION**

- President, Vice Presidents, and Deans
- Faculty on leave for one semester
- Faculty with non-renewed or one-year contracts
- Faculty who are retiring

### **3.3.8.7 SYNODICAL PLACEMENT APPROVAL COMMITTEE**

#### **3.3.8.7.1 FUNCTION**

- Recommend to the Synod all church vocation candidates.

#### **3.3.8.7.2 MEMBERSHIP**

- Director of Educational and Synodical Placement (chair). This Director shall be a rostered member of the Synod.
- Dean of Students.
- One member of the College of Business who is Synodically rostered.
- One member of the College of Arts and Sciences who is Synodically rostered.
- One member of the College of Education who is Synodically rostered.
- One member of the College of Graduate and Innovative Programs who is Synodically rostered.

#### **3.3.8.7.3 TERM OF OFFICE**

- Elected Faculty serve three year terms (from July 1)

#### **3.3.8.7.4 TERM LIMITS**

- None

#### **3.3.8.7.5 METHOD OF ELECTION**

- Open ballot of Faculty
- One Faculty member is elected each year

#### **3.3.8.7.6 VOTERS**

- All Synodically rostered University Faculty

#### **3.3.8.7.7 NOT ELIGIBLE FOR ELECTION**

- President, Vice Presidents, Associate Vice Presidents
- Director of Educational and Synodical Placement (ex officio)
- Faculty on leave for a least one semester

- Faculty with non-renewed or one-year contracts
- Faculty who are retiring
- Faculty on one policies and one University-wide elected committee
- Faculty on two University-wide elected committees

### **3.3.8.8 TEACHING, LEARNING, TECHNOLOGY COUNCIL (TLTC)**

#### **3.3.8.8.1 FUNCTION**

- Based on the needs of the University's academic programs and Faculty, the council will make recommendations and provide counsel related to library, educational media, educational technology, service, collection resources, equipment, and facilities.
- The council will coordinate input from Faculty, staff, and student groups. This council will formulate, plan, and propose pertinent recommendations as they relate to the use of technology in the teaching and learning enterprise.
- The council will report its findings and recommendations to the Faculty, and (as appropriate), to policies committees, deans, vice presidents, directors, and department chairs.

#### **3.3.8.8.2 MEMBERSHIP**

- Two Faculty from each College.
- Dean of the College of Business, *ex officio* (or designated/appointed Faculty member).
- Dean of the College of Arts and Sciences, *ex officio* (or designated/appointed Faculty member).
- Dean of the College of Education, *ex officio* (or designated/appointed Faculty member).
- Dean of Graduate and Innovative Programs, *ex officio* (or designee/appointed Faculty member).
- Vice President for Administration, *ex officio*,
- Director of Library Services, *ex officio*,
- Director of Academic Computing, *ex officio*, and
- Senior Vice President for Academic, *ex officio* s.
- Manager of Instructional Technology, *ex officio*.
- Others selected by the council as needed.

#### **3.3.8.8.3 TERM OF OFFICE**

- Three years (from July 1).

#### **3.3.8.8.4 TERM LIMITS**

- Two consecutive terms.

#### **3.3.8.8.5 METHOD OF ELECTION**

Open ballot of Faculty.

- Faculty serve staggered terms.

#### **3.3.8.8.6 VOTERS**

- All University Faculty.

### **3.3.8.8.7 NOT ELIGIBLE FOR ELECTION**

- President, Vice Presidents.
- Director of the Library.
- Director of Academic Computing.
- Manager of Instructional Technology.
- Faculty with non-renewed or one-year contracts.
- Faculty on leave for one semester (sabbatical, study, etc.).
- Faculty who are retiring.
- Faculty on one policies committee and one University-wide elected committee.
- Faculty on two University-wide elected committees.

### **3.3.8.9 TRAFFIC AND PARKING APPEALS TRIBUNAL**

#### **3.3.8.9.1 FUNCTION**

The tribunal hears appeal cases from persons challenging a penalty or policy regarding parking or traffic on campus. (For detailed function and policies *see Campus Traffic and Parking Policy and Procedures*<sup>23</sup> A Faculty member chairs this tribunal.

#### **3.3.8.9.2 MEMBERSHIP**

- One Faculty member.
- One staff member.
- One undergraduate student.
- One graduate student.

#### **3.3.8.9.3 TERM OF OFFICE**

- One year (from July 1).

#### **3.3.8.9.4 TERM LIMITS**

- None.

#### **3.3.8.9.5 METHOD OF ELECTION**

- The Faculty selects the Faculty member by the open balloting process.
- The Staff Council selects the staff member.
- The Student Senate chair selects the student and the Student Senate ratifies the selection.
- Each respective selection is ordinarily a member of that group making the selection.

#### **3.3.8.9.6 VOTERS**

- All University Faculty.

#### **3.3.8.9.7 NOT ELIGIBLE FOR ELECTION**

- President, Vice Presidents, Associate Vice Presidents
- Faculty on leave for one semester

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<sup>23</sup> This policy is available in detail on the University Portal under “parking”.

- Faculty with non-renewed or one-year contracts
- Faculty who are retiring
- Faculty on one policies committee and one University-wide elected committee
- Faculty on two University-wide elected committees

### **3.3.8.10 TEACHER COLLOQUY EXAMINATION TASK FORCE**

#### **3.3.8.10.1 FUNCTION**

- This task force conducts Synodically rostered teacher colloquy examinations and makes appropriate recommendations to the director of the colloquy program.
- The director of the colloquy program serves as the chair

#### **3.3.8.10.2 MEMBERSHIP**

- Eligible Faculty members are identified by the President. Task Force members are called to service by the chair
- All rostered members of the LCMS are automatically eligible to serve on the Task Force

#### **3.3.8.10.3 TERM OF OFFICE**

- The appointment of the Committee Members selected terminates upon completion of the processing of the Candidate

### **3.3.8.11 DEACONESS COLLOQUY EXAMINATION JOINT COUNCIL**

#### **3.3.8.11.1 FUNCTION**

- This task force conducts Synodically rostered deaconess colloquy examinations and makes appropriate recommendations to the director of the colloquy program.

#### **3.3.8.11.2 MEMBERSHIP**

##### **By Position**

- Chair, Dept. of Theology
- Director, Deaconess Program
- Dean: College of Graduate and Innovative Programs
- A deaconess in active ministry
- A representative of the Lutheran Deaconess Association

##### **By Election by Faculty**

- One Synodically rostered Faculty member.

#### **3.3.8.11.3 TERM OF OFFICE**

- Three years (from July 1).

#### **3.3.8.11.4 TERM LIMITS**

- None.

#### **3.3.8.11.5 METHOD OF ELECTION**

- Open consecutive balloting of eligible Faculty members

#### **3.3.8.11.6 VOTERS**

- All Synodically rostered University Faculty

#### **3.3.8.11.7 NOT ELIGIBLE FOR ELECTION**

- President, VPs
- Director of the DCE Program
- Dean of the University College
- Chair of the Theology Department
- Faculty on leave for at least one semester
- Faculty with non-renewed or one-year contracts
- Faculty who are retiring

### **3.3.8.12 COMMITTEE FOR THE INSTITUTE FOR CHURCH PROFESSIONALS**

#### **3.3.8.12.1 FUNCTION**

- Assist in coordinating the activities of the Institute for Church Professionals.

#### **3.3.8.12.2 MEMBERSHIP**

- Two Synodically rostered Faculty members

#### **3.3.8.12.3 TERM OF OFFICE**

- Two years (from July 1)

#### **3.3.8.12.4 TERM LIMITS**

- Two consecutive

#### **3.3.8.12.5 METHOD OF ELECTION**

- Slated by NEC

#### **3.3.8.12.6 VOTERS**

- All Synodically rostered University Faculty

#### **3.3.8.12.7 NOT ELIGIBLE FOR ELECTION**

- President, VP's

- Director, Institute for Church Professionals
- Dean, any University College
- Director of Education/Synodical Placement
- A representative of Lutheran Teacher Education recommended by the Dean of the College of Education
- Coordinator of the Deaconess Program
- Coordinator of the Director of Christian Education Program
- Coordinator of the Director of Parish Music Program
- Director of the Pre-Seminary Program
- Faculty on leave for one semester (sabbatical, study, etc.)
- Faculty with non-renewed or one-year contracts
- Faculty who are retiring
- Faculty on 1 policies committee and one University-wide elected committee
- Faculty on two University-wide elected committees

### **3.3.9 LUTHERAN EDUCATION STAFF**

#### **3.3.9.1FUNCTION**

- Edit *Lutheran Education*

#### **3.3.9.2MEMBERSHIP**

- An editor (or co-editors) and associate editors, one of whom is the President

#### **3.3.9.3TERM OF OFFICE**

- As mutually agreed upon.
- Members may succeed themselves
- Term of office begins July 1

#### **3.3.9.4METHOD OF SELECTION**

- The President appoints the editor (or co-editors) and associate editors

### **3.3.10 ACADEMIC ACCREDITATION**

Concordia has always placed a high priority in maintaining certain academic accreditations for its programs. Currently it is fully accredited by several national accrediting agencies.

#### **3.3.10.1 HIGHER LEARNING COMMISSION (HLC)**

The Higher Learning Commission accredits, and thereby grants membership in the Commission and in the North Central Association, degree-granting post-secondary educational institutions in the [North Central region](#).

### **3.3.10.1.1 NORTH CENTRAL ASSOCIATION OF COLLEGES AND SCHOOLS (NCA)**

The Higher Learning Commission (HLC) is an independent corporation and one of two commission members of the North Central Association of Colleges and Schools (NCA). The NCA is dissolving during the latter half of 2014, with the University remaining a fully accredited member of the Higher Learning Commission. The Higher Learning Commission accredits degree-granting post-secondary educational institutions in the North Central region. . See <https://www.ncahlc.org/About-the-Commission/about-hlc.html> for further information.

### **3.3.10.1.2 ACADEMIC QUALITY IMPROVEMENT PROGRAM (AQIP)**

This program provides an alternative evaluation process for organizations already accredited by the Commission. An institution in AQIP demonstrates how it meets accreditation standards and expectations through a sequence of events that align with the ongoing activities of an institution striving to improve its performance. AQIP is structured around quality improvement principles and processes and involves a structured set of goal-setting, networking, and accountability activities. The program is coordinated and administered through the Director of Institutional Research and Assessment.

### **3.3.10.2 COUNCIL FOR THE ACCREDITATION OF EDUCATOR PREPARATION (CAEP)**

[This was formerly NCATE, (National Council for the Accreditation of Teacher Education)]

The Council for the Accreditation of Educator Preparation (CAEP) is the new sole accreditor for educator preparation in the United States. "CAEP is a new kind of accrediting body that drives innovation and change. This Council accredits the teacher education programs at Concordia. See <http://caepnet.org/> for more information.

### **3.3.10.3 COUNCIL FOR ACCREDITATION OF COUNSELING AND RELATED EDUCATIONAL PROGRAMS (CACREP)**

Founded in 1981, the Council for Accreditation of Counseling and Related Educational Programs promotes professional competence, development of standards, and excellence through accreditation of programs. For further information please see <http://www.cacrep.org/about-cacrep/vision-mission-and-core-values/>.

### **3.3.10.4 NATIONAL ASSOCIATION OF SCHOOLS OF MUSIC (NASM)**

Founded in 1924, the National Association of Schools of Music has over 600 members. The association establishes national standards for graduate and undergraduate degrees and credentials in music. For further information, please see <http://nasm.arts-accredit.org/>.

## **3.4. FACULTY EMPLOYMENT**

### **3.4.1 MEMBERSHIP OF THE UNIVERSITY FACULTY**

The Faculty of each synodical institution shall consist of the President, the full-time Faculty, and part-time Faculty.

(a) Part-time or temporary Faculty members are distinguished by an appropriate prefix or suffix (“visiting”, “guest”, “adjunct”, “emeritus”) or the term “graduate assistant”.

(b) Part-time or temporary Faculty members shall hold non-voting membership on the Faculty.<sup>24</sup>

The University uses the following identifications for the various Faculty classifications.

#### **3.4.1.1 FULL-TIME TENURE TRACK FACULTY**

1. Faculty members approved by action of the Board of Regents to receive initial Faculty appointments and who are eligible to apply for tenure according to the established University guidelines. Tenure Track
2. Faculty members who have been approved for tenure by the Board of Regents according to the established University guidelines.
3. Faculty contracted to teach 24 hours, plus 3 hours of scholarship and 3 hours of service for a total of 30 hours.

#### **3.4.1.2 AMBASSADOR FACULTY**

1. Full time Faculty members.
2. Contracted for 11 months with benefits.

#### **3.4.1.3 VISITING FACULTY**

1. Faculty members approved by the President to receive initial full-time Faculty appointments and who are *not* eligible for tenure.
2. Faculty contracted to teach 24 hours, plus 3 hours of scholarship and 3 hours of service for a total of 30 hours.

#### **3.4.1.4 FULL-TIME FACULTY, NON-TENURE TRACK**

1. Faculty contracted to teach twelve (12) or more semester hours of coursework (contracted by semester) in a given calendar year.

#### **3.4.1.5 ADJUNCT FACULTY**

1. Faculty contracted to teach fewer than twelve (12) semester hours of coursework (each course contracted individually) in a given calendar year.

The State of Illinois uses the following categories of Faculty designations:

Full time includes Tenure Track, Visiting, Full-time Non-tenure Track, and Ambassador.

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<sup>24</sup> 2013 LCMS Handbook, Section 3.10.5.6.



Adjunct includes only Adjunct.

### **3.4.1.6 FACULTY EMERITI**

A full-time Faculty member who has served at Concordia University Chicago or another Concordia University System institution or at a Synodical Seminary for ten or more years and is honorably retired from the University shall be granted the title “Professor *emeritus*” upon the endorsement of the Senior Vice President for Academics to the President and his subsequent recommendation to the Board of Regents, who shall award the designation.

Professor *Emeriti* are granted the following privileges:

- Non-voting attendance at Faculty and committee meetings
- Use of a University computer in campus labs and other public locations
- A Faculty e-mail account at the University
- Inclusion on the Faculty listserv
- Invitations, passes, and discounts offered to other Faculty members
- A Faculty emeritus Concordia ID card (upon request)
- Library privileges, including checkout options
- Parking privileges (upon request)
- Any other privileges that may be offered to other retirees from time to time.

In addition, a rostered member of The Lutheran Church—Missouri Synod may also become an emeritus member of the Synod upon retirement.

### **3.4.2 APPOINTMENTS OF THE MEMBERS OF THE FACULTY**

**Except as otherwise noted in these bylaws, [LCMS bylaws] the board of regents on recommendation of the president of the institution shall appoint all full-time members of the Faculty. The terms and conditions of every appointment shall be stated in writing and be in the possession of both the institution and the prospective Faculty member before the appointment is consummated. Limitations of academic freedom because of the religious and confessional nature and aims of the institution shall be stated in writing at the time of the appointment and conveyed to the person being appointed. Faculty members, full- and part-time, shall pledge to perform their duties in harmony with the Holy Scriptures as the inspired Word of God, the Lutheran Confessions, and the Synod’s doctrinal statements.<sup>25</sup>**

Further clarification on the implementation of appointing full-time Faculty is provided as follows.

**Each educational institution shall have established policies and procedures related to appointments.**

**There shall be two levels of Faculty appointments: (1) Initial level, where the appointment can be terminated with no formal requirement for a show of cause; and (2) continuing level, where termination requires a formal show of cause<sup>26</sup>.**

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<sup>25</sup> 2013 LCMS Handbook, Section 3.10.5.6.2.

<sup>26</sup> This portion of Section 4.2 is provided from the 2010 LCMS Handbook, 3.10.5.6.2 (pp. 172-173).

- a. Institutions are free to decide for themselves what names to apply to these two levels of appointment.
- b. Each educational institution of the Synod normally shall have at least 35 percent of its full-time Faculty serving at the continuing-level appointment level.
- c. Each institution shall require specific action by the board of regents for promotion from an initial-level appointment to a continuing-level appointment.
- d. Standards or qualifications for moving a Faculty member from initial-level appointment to continuing-level appointment shall be the following:
  1. The Faculty member shall ordinarily have completed four to six years of creditable service (periods of leave are not included) as a member of the Faculty of one or more educational institutions of the Synod, at least the last two years of which shall have been in the institution currently served.
  2. The Faculty member shall, as determined by his or her academic discipline, regularly continue to demonstrate scholarly achievement that may be institutionally funded as determined by the board of regents.
  3. The Faculty member's reputation, character, concern for students, and ability to honor leaders shall present a good reflection on the institution and the church.
  4. The Faculty member's aptness to teach has been demonstrated by effective communication in the classroom.
- e. Steps in moving a Faculty member from an initial-level appointment to a continuing-level appointment shall be the following:
  1. If the board of regents, on recommendation of the president of the institution, determines that a Faculty member meets the above requirements and is still at the initial-level appointment, it shall either carry forward the procedure for promotion to a continuing-level appointment or inform the Faculty member of its decision not to do so, in which case the individual either may continue at the initial-level appointment or be terminated. Any continuation of employment at the initial-level appointment shall be on a year-to-year basis. Faculty employment during the initial-level-appointment period may be terminated without disclosure of cause. In cases in which the decision is made to terminate the individual's contract, the contract shall be extended for at least six months beyond the time at which notice is given. If the board of regents does not take up the question of promotion to a continuing-level appointment at least nine months prior to the end of the sixth year of service, the Faculty member may petition the board of regents to do so.
  2. After final review, the board of regents may promote to a continuing-level appointment status.

- f. **Promotion to continuing-level appointment status shall in no case be construed as requiring or indicating advancement in rank or increase in salary.**
- g. **Other types of Faculty appointments may be established by institutions as the need arises.**

### **3.4.3 FACULTY ORIENTATION**

The Senior Vice President for Academics and appropriate deans and department chairs before the opening of the school year provide an orientation for new fulltime Faculty members. This program includes information on various personnel practices, academic procedures, academic freedom policies, LCMS beliefs, accreditation, and may involve other University administrators.

In addition to the orientation, the University expects new fulltime Faculty members to attend the Fall Faculty Seminar before the opening of the school year.

### **3.4.4 PERFORMANCE REVIEWS**

A formal procedure shall be in place to carry out performance reviews for all Faculty on a regular basis.<sup>27</sup>

**A formal procedure shall be in place to carry out performance reviews for all Faculty on a regular basis to help Faculty identify their strengths as well as areas in which improvement is needed (formative) and to provide the information needed to make a decision about future employment status (summative)<sup>28</sup>.**

#### **Performance Review Guidelines**

- a. **Performance reviews shall be based on a set of clearly articulated criteria that are shared with Faculty prior to their employment and current assignment.**
- b. **All Faculty on initial-level appointments shall be reviewed at least triennially.**
- c. **All Faculty on continuing-level appointments shall be reviewed at least every five years.**
- d. **The President of an institution may call for a formal review of any Faculty member at any time.**
- e. **The review shall involve input from peers.**
- f. **A written summary of the results of the review shall be prepared.**
- g. **The summary shall be shared with the Faculty member involved and he/she shall be given an opportunity to respond.**

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<sup>27</sup> 2013 LCMS Handbook, Section 3.10.5.6.3.

<sup>28</sup> This section is based on the 2010 LCMS Handbook, Section 3.10.5.6.4 (pp. 174-175).

- h. A final decision about any action to be taken as a result of the review shall be made by the Board of Regents of the institution upon recommendation of the President of the institution.
- i. An appeal process shall be in place for use by Faculty members of a continuing-level appointment (those who already have been granted continuing-level appointment status) who wish to challenge a termination decision. The appeal may be about the substance of the decision or the procedures followed in reaching the decision.
- j. Faculty members with an initial-level appointment (who have no expectation of continued employment) shall not be entitled to an appeal process following (or prior to) a decision of non-retention. The only exception is that a Faculty member with an initial-level appointment may ask the Board of Regents to assure that appropriate procedures were followed in reaching the decision or the basis on which the decision was made.

### **3.4.5 PROMOTION OF FACULTY TO CONTINUING APPOINTMENT STATUS**

This process for reappointment, advancement in rank, and tenure is currently under review by the four Colleges.b. Each educational institution of the Synod normally shall have at least 35 percent of its full-time Faculty serving at the continuing appointment level.

- c. Each institution shall require specific action by the Board of Regents for promotion from an initial-level appointment to a continuing-level appointment.
- d. Standards or qualifications for moving a Faculty member from initial-level appointment to continuing-level appointment shall be the following:
  - 1. The Faculty member shall ordinarily have completed four to six years of creditable service (periods of leave are not included) as a member of the Faculty of one or more educational institutions of the Synod, at least the last two years of which shall have been in the institution currently served.
  - 2. The Faculty member shall, as determined by his or her academic discipline, regularly continue to demonstrate scholarly achievement which may be institutionally funded as determined by the board of regents.
  - 3. The Faculty member's reputation, character, concern for students, and ability to honor leaders shall present a good reflection on the institution and the church.
  - 4. The Faculty member's aptness to teach has been demonstrated by effective communication in the classroom.
- e. Steps in moving a Faculty member from an initial-level appointment to a continuing-level appointment shall be the following:

1. If the board of regents, on recommendation of the President of the institution, determines that a Faculty member meets the above requirements and is still at the initial-level appointment, it shall either carry forward the procedure for promotion to a continuing-level appointment or inform the Faculty member of its decision not to do so, in which case the individual either may continue at the initial-level appointment or be terminated. Any continuation of employment at the initial-level appointment shall be on a year-to-year basis. Faculty employment during the initial-level appointment period may be terminated without disclosure of cause. In cases in which the decision is made to terminate the individual's contract, the contract shall be extended for at least six months beyond the time at which notice is given. If the board of regents does not take up the question of promotion to a continuing-level appointment at least nine months prior to the end of the sixth year of service, the Faculty member may petition the board of regents to do so.
  2. After final review the Board of Regents may promote to continuing-level appointment status.
- f. Promotion to continuing-level appointment status shall in no case be construed as requiring or indicating advancement in rank or increase in salary.
- g. Other types of Faculty appointments may be established by institutions as the need arises.

#### **3.4.5.1 REVIEW OF FACULTY FOR REAPPOINTMENT, ADVANCEMENT, OR TENURE**

Each college shall establish its policy, criteria, procedure, and selection of the college's Peer Review Council for reviewing Faculty reappointments, advancements, and tenure. All policy shall be in compliance with LCMS, CUS, and Regents' policies.

#### **3.4.5.2 COLLEGE OF ARTS AND SCIENCES PEER REVIEW COUNCIL**

Function:

In accordance with the procedures adopted by the Arts and Sciences Policies Committee, the Advisory Council will make recommendations to the Dean of the College regarding reappointments, advancements in rank, and tenure of primary members of the College.

- Five primary members from the College of Arts and Sciences.
- At least 3 must be full professors.
- Ex officio: The Dean of the College of Arts and Sciences.

Term of Office:

- Three-year staggered terms

Term Limits:

- Two consecutive terms.

Method of election:

- Open consecutive balloting.

Voters:

- Members of the College of Arts and Sciences.

Not eligible for election:

- Dean of the College of Arts & Sciences.
- Faculty on leave for one semester (sabbatical, study, etc.).
- Faculty with non-renewed or one-year contracts.
- Faculty that are retiring.

### **3.4.5.3 COLLEGE OF BUSINESS PEER REVIEW COUNCIL**

Function:

- In accordance with the procedures adopted by the Business Policies Committee, the Advisory Council will make recommendations to the Dean of the College regarding reappointments, advancements in rank, and tenure of primary members of the College.

Membership:

- Three primary members from the College of Business.
- *Ex officio*: The Dean of the College of Arts and Sciences.

Term of Office:

- One Year (from July 1).

Term Limits:

- None.

Method of election:

- Open consecutive balloting.

Voters:

- Members of the College of Business.

Not eligible for election:

- Dean of the College of Business.
- Faculty on leave for one semester (sabbatical, study, etc.).
- Faculty with non-renewed or one-year contracts.
- Faculty that are retiring.

#### **3.4.5.4 COLLEGE OF EDUCATION PEER REVIEW COUNCIL**

Function:

- In accordance with procedures adopted by the Education Policies Committee, the advisory council will make recommendations to the dean regarding reappointments, advancements in rank, and tenure of primary members of the College.

Membership:

- Three primary members from the College of Education.
- *Ex officio*: The Dean of the College of Education.

Term of Office:

- One year (from July 1).

Term Limits:

- None.

Method of election:

- Open consecutive balloting.

Voters:

- Members of the College of Education.

Not eligible for election:

- President, VPs, Dean of the College of Education.
- Faculty on leave for one semester (sabbatical, study, etc.).
- Faculty with non-renewed or one-year contracts.
- Faculty that are retiring.

#### **3.4.5.5 COLLEGE OF GRADUATE & INNOVATIVE PROGRAMS PEER REVIEW COUNCIL**

Function:

- In accordance with the procedures adopted by the Graduate & Innovative Programs Policies Committee, the Advisory Council will make recommendations to the Dean of the College regarding reappointments, advancements in rank, and tenure of primary members of the College.

Membership:

- Three members from the College of Graduate & Innovative Programs.

- *Ex officio*: The Dean of the College of Graduate & Innovative Programs.

Term of Office:

- One year (from July 1).

Term Limits:

- None.

Method of election:

- Open consecutive balloting.

Voters:

- Members of the College of Graduate & Innovative Programs.

Not eligible for election:

- Dean of the College of Graduate & Innovative Programs.
- Faculty on leave for one semester (sabbatical, study, etc.).
- Faculty with non-renewed or one-year contracts.
- Faculty that are retiring.

### **3.4.5.6 CAS REAPPOINTMENT, ADVANCEMENT IN RANK, AND TENURE**

In this segment of the document, the College of Arts and Sciences presents both the criteria for reappointment, advancement in rank, and tenure of its Faculty, and the documentation to be submitted by and for the candidate applying for reappointment, advancement in rank, and tenure. These criteria are made available to all members of the college Faculty to:

- (1) inform the Faculty what the college and University expect of them professionally for reappointment and promotion, and
- (2) serve as reasonable objective guidelines for the proper series of peer review and administrative recommendations culminating in the final decision made by the Board of Regents of the University.

There are five general points of reference and criteria for reappointment, advancement in rank, and tenure, and a sixth that may be applicable in some circumstances:

- (1) Academic Degree and Experience Requirements,
- (2) Teaching,
- (3) Scholarship,
- (4) Service to the University
- (5) Service beyond the University, and
- (6) Administrative Responsibilities.



This section of the document is presented in three parts:

- A. Identification of the Criteria for Reappointment, Advancement in Rank, and Tenure
- B. Definitions and Examples for Satisfying the Criteria
- C. The Documentation Required in order to be Considered for Reappointment, Advancement in Rank, and Tenure

## **Part A. Criteria for Reappointment, Advancement in Rank, and Tenure**

The following are brief explanations of the criteria to be assessed in accordance with the Candidate's Faculty responsibilities and performance expectations. These criteria are guidelines. They should not be considered absolutes, nor should they be assumed to be a guarantee of reappointment or promotion.

### **Criterion 1: Academic Degree and Experience:**

Normally, reappointment or advancement will be considered only for those who meet the following criteria:

Instructor:	Master's Degree, Teaching experience not required, but preferred.
Assistant Professor:	Advanced academic work beyond Master's degree, and a minimum of two years teaching experience.
Associate Professor:	Earned Doctorate or recognized terminal degree, and a minimum of four years teaching (or administrative equivalent) at the assistant level.
Professor:	Earned Doctorate or recognized terminal degree, and a minimum of six years teaching (or administrative equivalent) at the associate level.
Tenure:	Standards or qualifications for moving a Faculty member from initial- level appointment to continuing-level appointment (tenure) including:  <ol style="list-style-type: none"><li>1. The Faculty member shall ordinarily have completed four to six years of creditable service (periods of leave are not included) as a member of the Faculty of one or more educational institutions of the Synod, at least the last two years of which shall have been in the institution currently served.</li><li>2. The Faculty members shall, as determined by their academic discipline, regularly continue to demonstrate scholarly achievement which may be institutionally funded as determined by the Board of Regents.</li><li>3. The Faculty member's reputation, character, concern for students, and ability to honor leaders shall present a good reflection on the institution and the church.</li></ol>

4. The Faculty member's aptness to teach has been demonstrated by effective communication in the classroom.

### **Criterion 2: Teaching:**

Effective teaching must be documented. The materials should show evidence of:

- (1) Effective Instructional Design Skills,
- (2) Content Expertise,
- (3) Effective Instructional Delivery Skills,
- (4) Effective Course Management, and
- (5) Satisfactory Teaching Load

### **Criterion 3: Scholarship:**

Candidates must submit evidence of their scholarly activity and/or production, including appropriate creative work.

### **Criterion 4: Service to the University**

Candidates must show evidence of service to the University, including collegiality. Each candidate should provide to his or her chair the names of three (five for advancement in rank/tenure) extra-departmental peers who can provide letters of support.

### **Criterion 5: Service Beyond the University:**

Candidates must document that they have provided service beyond the University, such as to the profession, church, and community.

### **Criterion 6: Administrative Responsibilities:**

Candidates who have administrative responsibilities should show effective administration of their department, center, office, etc.

## **Part B. Satisfaction of Criteria for Reappointment, Advancement in Rank, and Tenure**

Satisfaction of degree and experience requirements, demonstration of teaching effectiveness, and documentation of scholarship (including creative work), service to the University, and service beyond the University are required of all candidates for reappointment, advancement in rank, and tenure. In addition, candidates will submit documentation of administrative contributions, in accordance with their load-weight agreements.

The following guidelines provide a partial list (i.e. not exclusive) of accepted Faculty activities and attainments that show achievement in the required and optional fields.

### **Criterion 1: Academic Degree and Experience:**

- a. Academic degrees
- b. Number of years in rank
- c. Experience and tenure credit from other institutions (when appropriate)

## Criterion 2: Teaching:

- a. Effective Instructional Design Skills (e.g. effective, well-thought-out syllabi and assignments, assessment criteria reflecting goals of the course) b. Content Expertise (e.g. knowledge of the field and current scholarship, appropriately reflected in course design)
- b. Effective Instructional Delivery Skills (e.g. dynamic, productive class leadership; appropriate use of resources and technology; productive class time)
- c. Effective Course Management (e.g. timely submission of grades, being available to students and responding to students, managing incompletes)
- d. Satisfactory Teaching Load (e.g. load fulfillment, size of classes, percentage of cap filled)

The assessment of these criteria will be based on the following documentation from:

Teaching Component	Students	Department Members	Department Chair	Peer Review Committee	Dean
Instructional Design Skills	Course Evaluations	Review of Course Materials	Review of Course Materials	Review of Documentation	Classroom Observation & Review of Material
Content Expertise	Course Evaluations	Analysis of Course Content	Analysis of Course Materials	Review of Documentation	Review of Documentation
Instructional Delivery Skills	Course Evaluations	May Include Classroom Observation	Classroom Observation	Review of Documentation	Classroom Observation & Review of Material
Course Management	Course Evaluations	Not applicable	Review of Procedures, Promptness in Grades, etc.*	Review of Documentation	Review of Documentation
Course Statistics	Not Applicable	Not applicable	Course Enrollment Statistics*	Review of Documentation	Review of Documentation

- a. Presenting recitals and exhibitions
- b. Staging, directing, or acting in musical, theatrical, and dance productions
- c. Exhibiting paintings, sculptures, and other creative arts
- d. Developing software/media

\*Via Reports and Statistics received from the Registrar's Office.

Additional Responsibilities may include:

- a. Developing new courses/labs
- b. Coordinating and supervising clinical teaching/independent study/tutorials
- c. Serving on or chairing master's or doctoral supervisory committees

### **Criterion 3: Scholarship:**

#### Publications and presentations

- a. Scholarly Books
- b. Textbooks
- c. Journal Articles
- d. Reviews
- e. Non-Refereed Material
- f. Invited/Contributed Papers
- g. Invited/Contributed Presentations
- h. Poster Sessions
- i. Creative writing or musical compositions

#### Creative Production

#### Ongoing Research

Scientific investigations, both theoretical and applied. Investigations of educationally relevant problems

#### Professional Activity

- a. Membership in professional organizations
- b. Attendance at academic conferences and professional meetings
- c. Other

#### Professional Recognition

- a. Awards, honors, or invited presentations
- b. Advanced degrees or certificates

### **Criterion 4: Service to the University:**

- a. Serving on departmental, college, or University committees, councils, and task forces
- b. Serving on Faculty Senate
- c. Sponsoring or advising student groups
- d. Chairing any committee (student, Faculty, etc.)
- e. Participating in recruitment/retention activities (e.g. open houses, Cougar Connections)
- f. Fulfilling regularly designated roles (e.g. assistant marshal, assisting in chapel)
- g. Advising students on programs of study
- h. Helping colleagues to be more productive and effective in their own work
- i. Treating colleagues with respect

### **Criterion 5: Service Beyond the University:**

- a. Activity in a professional organization (holding office, serving on committees or boards, reviewing scholarship or creative activities)

- b. Consulting to organizations, corporations, or other educational institutions in one's field of expertise
- c. Leadership appointments and/or elected office in the church
- d. Service on church boards and committees
- e. Leadership and/or presentations in the church
- f. Holding office in local, state, or national civic activities and organizations
- g. Applying academic expertise in the local, state, or national community without pay or profit

**Criterion 6: Administrative Responsibilities:**

- a. Effective leadership of the relevant unit (department, office, etc.)
- b. Timely discharge of administrative duties
- c. Good stewardship of human, financial, and other resources

**Part C Documentation Prepared by and for a Candidate Seeking Reappointment, Advancement in Rank, and Tenure**

The Candidate should submit all his/her documentation to the Department Chair in a three-ring binder or posted as directed and provided in Blackboard or some other University provided electronic resource with the following divisions:

- 1) Vitae,
- 2) Copies of Signed CAS Final Load and Faculty Annual Review Forms,
- 3) Candidate's Narrative and Documentation Addressing the Six Criteria,
- 4) Candidate's Supporting Materials, and
- 5) For Candidates for Tenure, Additional Supporting Documentation.

Items that will be added to the Candidate's documentation by the Department Chair will include:

- 1) Confidential Letters from the Departmental Members,
- 2) One Confidential Extra-Departmental Letter of Support for Reappointment; Two Confidential Extra-Departmental Letters of Support for Advancement in Rank or Tenure,
- 3) A Confidential Department Chair Letter of Recommendation,
- 4) Course Statistical Reports secured by the chair from the Registrar's Office, and
- 5) A Course Management Report secured by the chair from the Registrar's Office.

Items that will be added to the Candidate's documentation by the Dean will include a Summary of Student Course Evaluations.

**Confidential Letters; WAIVER OF RIGHT OF ACCESS BY CANDIDATE**

Confidential Letters are requested for the benefit of the University and the Candidate, in order to obtain candid assessments of the strengths and weaknesses of the Candidate. Where letters are designated as "confidential" as part of this process, such letters will be made available only to the Department Chair, the Dean, the Senior Vice President for Academics, the President and the Board of Regents for the sole purpose of evaluating the Candidate's application for reappointment, advancement in rank and/or tenure. All such persons are obligated to keep such letters strictly confidential. **BY SUBMITTING AN APPLICATION, THE CANDIDATE UNDERSTANDS THESE CONFIDENTIALITY PROVISIONS RELATING TO THE LETTERS, AND VOLUNTARILY AND EXPRESSLY WAIVES ANY AND ALL RIGHTS THAT THE CANDIDATE MAY HAVE TO ACCESS SAME UNDER ALL APPLICABLE LAWS, REGULATIONS, AND POLICIES.** The Candidate

understands that the rights being waived include, but are not limited to, the right to inspect and review a letter, the right to have a copy of the letter made for personal use, the right to request an amendment or correction to the letter, and the right to provide supplementary or rebuttal information relating to the letter's contents.

### **Candidate's Materials**

Please do not include any materials (previously submitted vitae, student evaluations, etc.) not requested here. These materials are gathered by the Candidate and submitted to the Department Chair.

1. Vitae—Use the Faculty Vitae Form adopted by the University
2. Faculty Responsibilities and Performance Expectations

Attach a copy of your CAS Final Load and Annual Review Forms (copy of documents signed by chair and Faculty member)

for Reappointment – three years or years of service (if less than three)  
for Advancement in Rank – three years  
for Tenure – length of service

### **3. Candidate's Narrative**

Assess your activity and contribution in the areas Teaching, Scholarship, Service and—if applicable—Administrative Responsibilities. Include the following topics in your assessment:

Teaching philosophy  
Goals and Reflections

In addition, you may use the narrative to highlight other achievements that might otherwise go unnoticed, such as

- ☐ Special recognition or commendation
- ☐ Unnoticed service or activities
- ☐ Any other information that might help the reviewers to gain a fuller impression of your activities

### **4. Candidate's Supporting Materials**

The Candidate will submit materials that will support his or her application. These will normally include the following:

- ☐ Syllabi of courses taught (usually a representative sample of five syllabi, normally to include both upper and lower division classes; may include documents from the same course in different semesters to show changes in instructional design)
- ☐ Course materials (a representative sampling of assignments and/or presentation materials)

If available, the candidate should also include the following materials:

- ☐ Samples/Evidence of Scholarship (e.g. program of concert/play/exhibition, copy of published creative writing, copy of published scholarly writing)
- ☐ Published reviews of scholarly work

#### 5. Additional Supporting Documents for Candidates for Tenure

The candidate for tenure will supply the following material to support his/her application:

- ☐ Cover Letter explaining rationale for consideration of candidacy, the candidate's accomplishments and contributions to the University, and estimation of future value to the institution
- ☐ Cumulative summary of teaching
- ☐ Cumulative summary of scholarship
- ☐ Cumulative summary of service to the University and beyond
- ☐ Cumulative summary of administrative responsibilities

#### **Department Chair's Materials**

The Department Chair will collect the materials from the Candidate. The Chair will also add the following materials, and forward them to the Dean of the College of Arts and Sciences:

- ☐ Confidential Letters from departmental Faculty
- ☐ Confidential Letters from extra departmental members
- ☐ Reports from the registrar on course management
- ☐ Confidential Letter from the chair assessing the Candidate on the criteria for reappointment, promotion, or tenure.

#### **Dean's Materials**

The Dean will add this to the material received from the department chair and forward all materials to the Peer Review Committee:

- ☐ Summary of student evaluations, including all such summaries for the Candidate

#### **Registrar's Materials**

At the Chair's request, the Registrar will collect these materials and forward them to the Department Chair:

- ☐ Course statistics (courses taught, enrollment, occupancy rate) for past three years (or length of service, if shorter than three years)

- ☐ Report on promptness in grading procedures

### **Extra-Departmental Letter(s) of Support**

For reappointment, the Chair selects one Faculty member from a slate of three provided by the Candidate. For advancement of rank and/or tenure, the Chair selects two Faculty members from a slate of five provided by the Candidate. The letters are to be considered confidential. They should include at least comments on the following:

- ☐ Service and collegiality

However, these letters may also include teaching observation, review of course materials, and review of scholarship and creative activities.

### **3.4.5.6.2 PROCEDURES OF THE CAS PEER REVIEW COUNCIL**

The basic rubrics for review of Faculty for reappointment, advancement in rank, or tenure are outlined in the *Faculty Handbook*. In addition, the following procedural guidelines are currently used by the College of Arts and Science.

1. The Dean of the College of Arts and Science shall forward to the members of the college's Peer Review Council a list of candidates for reappointment, advancement in rank, and tenure. The Dean shall then determine a primary reviewer for each candidate's application; however, all members shall familiarize themselves with each Candidate's file.
2. The Peer Review Council will receive all of each Candidate's application materials no later than 15 working days before the date the full committee meets to make its recommendations. The council will not consider incomplete applications.
3. The council will conduct its meetings confidentially with no others present. All information and discussion must be treated as confidential, i.e. not shared with anyone outside the PRC including the candidate. At its meeting, the primary reviewer should orally summarize the pertinent information in the candidate's application materials. The primary reviewer will also make a recommendation at that time to recommend or not recommend reappointment, advancement in rank, and/or tenure.
4. If the council deems it appropriate, they may request clarification/more detail on material submitted by the Candidate and/or initiate a meeting/interview with the Candidate.
4. In the case of reappointments, the council shall have the right to:
  - 1) recommend reappointment,
  - 2) recommend reappointment for a shorter than the customary number of years (3 years for a Candidate holding a terminal degree; 2 years for a person not holding a terminal degree), or
  - 3) recommend the Candidate not be reappointed. For advancement in rank or tenure, the council must submit a report to either recommend or not recommend.



6. The council shall base its decision on applications for reappointment, advancement in rank, and tenure in accordance with the criteria as approved by the Arts and Sciences Policy Council.
7. The primary reviewer will write, on behalf of the council, a report for the Dean outlining the committee decision to recommend or not recommend reappointment, advancement in rank, or tenure. The recommendation should include an assessment of the Candidate's strong points as well as weaknesses in the Candidate's performance in the areas of teaching, scholarship and service. These may include, but are not limited to, such areas as the completion of a terminal degree, demonstrable progress toward completion of a degree, demonstrable improvement in teaching, and the like.
8. The report will not record the vote in any way to suggest how individual members of the committee voted. However, any member or members of the council dissenting from the majority decision may also submit a minority report, which is to be incorporated into the recommendation.
9. The council's reports on reappointment, advancement in rank, and tenure and any minority reports are advisory to the Dean of Arts and Sciences, the Vice President for Academics, and the President. The purpose is to allow the college's elected peer reviewers a major role in the important matters of Faculty development and promotion.
10. The Dean shall also forward a copy of the council's recommendations on reappointment, tenure and advancement in rank to the Vice President for Academics. The Vice President shall in turn forward a copy the council's recommendations to the President and the Board of Regents. For the sake of openness and the good of the Candidate, the Dean shall communicate to the candidate and the Candidate's Chair the substance of the council's recommendation including the strengths and weaknesses after the Board of Regents made a decision on the Candidate's application for reappointment, advancement in rank, and/or tenure.

### **3.4.5.6.3      TIMELINE FOR CAS ADVANCEMENT IN RANK AND/OR TENURE**

Each year (prior to June 30) the Board of Regents considers recommendations for the approval of Advancement in Rank and Continuing-Level Appointment (i.e. Tenure).

If anyone has a question regarding her/his eligibility for advancement and/or tenure please contact the CAS Dean.

- |            |  |
|------------|--|
| by Aug. 1  | Dean distributes this timeline and the CAS guidelines to all CAS Faculty regarding Advancement in Rank and/or Tenure. <sup>29</sup>                                    |
| by Aug. 15 | Eligible Faculty members (Candidates) intending to apply for advancement in rank or tenure must notify their Department Chair and the Dean of their intent in writing. |

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<sup>29</sup> The Dean may announce a slightly revised schedule for a particular year; however the dates of October 15 and November 1 are fixed.

With this letter of intent, the candidate will give the Department Chair a list of five possible full-time Faculty members outside the department that could be contacted for letters of recommendation. The Department Chair will ask two of those Faculty members to submit a recommendation on behalf of the Candidate.

by Sept. 1      The Candidate submits her/his written documentation to the Department Chair.

Two confidential extra-departmental letters of recommendation (i.e. letters from outside the candidate's department) sent directly to the Department Chair at the Chair's request.

Confidential letters by **each** full-time department member will be submitted to the Department Chair. Each department may develop their own procedures for input from departmental members.

The Department Chair completes at least one recent classroom observation to assess instructional content, organization, and delivery skills.

by Sept. 15      The Department Chair submits 1) all written documentation prepared by the candidate, 2) the other documentation collected by the chair, and 3) her/his own confidential written recommendation to the Dean.

by Oct. 1      All documentation is made available to the Peer Review Committee for review.

by Oct. 15      Peer Review Committee submits their confidential recommendation letter to the Dean.

by Nov. 1      Confidential recommendations from the Peer Review Committee and the Dean and all documentation are submitted to the Senior Vice President for Academics.

Once the Senior Vice President for Academics has received all documentation and recommendations; he/she will make a recommendation to the President, who will in turn make a recommendation to the Board of Regents.

#### **3.4.5.6.4      TIMELINE FOR CAS REAPPOINTMENT OF CANDIDATES**

Faculty members seeking reappointment begin the process approximately 16 months prior to the end of their existing contract. The decision regarding reappointment is made annually by the Board of Regents at their last meeting of the calendar year.

No later than...

May 10      **The Department Chair** contacts one of the Faculty members recommended by the Candidate to write a letter of support and also submits a request for the reports needed from the Registrar. **The Department**

**Chair** completes at least one classroom observation to assess instructional delivery skills.<sup>30</sup>

July 1      **The Candidate for Reappointment** submits all her/his documentation to the Department Chair in a three-ring binder with the following divisions: 1) Vitae, 2) Faculty Responsibilities and Performance Expectations Forms, 3) Candidate's Narrative and Documentation Addressing the Six Criteria, 4) Candidate's Supporting Materials.

**The Department Chair** receives letters of recommendation from each full-time departmental member, the letter of support from a Faculty member outside the department (the "Extra-Departmental Letter"), and reports from the Registrar regarding course statistics and management.

Aug 15      **The Department Chair** submits all documentation regarding the Candidates reappointment application to the Dean. This includes the:

- 1) documentation submitted by the Candidate,
- 2) confidential letters from each full-time departmental member,
- 3) confidential letter of recommendation from a full-time Faculty member outside the department,
- 5) reports from the registrar
- 6) Chair's report on the teaching component/classroom observation assessment, and
- 7) Chair's confidential letter of recommendation.

The **Dean** adds the summary of student course evaluation questionnaires to the Candidate's documentation.

Sept 16      **The Dean** presents the Candidate's documentation for reappointment to the CAS Peer Review Council.

October 15      **The Dean** receives the recommendation of the CAS Peer Review Council regarding the Candidate's application for reappointment.

November 1      **The Dean** submits her/his confidential recommendation and the confidential recommendation of the CAS Peer Review Council regarding reappointment to the Senior Vice President for Academics and includes all materials and recommendations related to the Candidate's application for reappointment.

Once the Senior Vice President for Academics has received all documentation and recommendations, he/she will make a recommendation to the President, who will in turn make a recommendation to the Board of Regents. The Board of Regents makes its decision regarding reappointment at their last meeting of the calendar year. The documentation compiled for reappointment is also available to the President and the Board of Regents.

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<sup>30</sup> The Dean may announce a slightly revised schedule for a particular year; however the dates of October 15 and November 1 are fixed.

### **3.4.5.7 COLLEGE OF BUSINESS REAPPOINTMENT, ADVANCEMENT IN RANK, AND TENURE**

#### **I. Introduction**

The quality of education provided by Concordia University Chicago (CUC) is sustained through the dedicated and creative work of each Faculty member. Objective, systematic, and thorough appraisal of each candidate for initial and continued appointment, promotion in academic rank, and/or the granting of tenure is vital to the fulfillment of the University's mission. The purpose of these guidelines is to provide common criteria and procedures for reappointment, promotion, and tenure for all Faculty members in the College of Business.

Reappointments, promotions in rank and the granting of tenure are based on merit. Promotions are awarded to recognize the level of Faculty members' accomplishments and contributions to the mission of the University in teaching, scholarship, and service.

Responsibility for reappointments, promotion and tenure recommendations rests with the Peer Review Committee, Department Chairs, Office of the Dean, and the Provost. Final responsibility rests with the President of the University and Board of Regents. Reviewers base their recommendations on an evaluation of carefully prepared candidate documents as well as the individual and unique accomplishments and contributions of each Faculty member.

Faculty members who are eligible for reappointment, advancement in rank, and/or tenure will be expected to demonstrate accomplishments and contributions in the required areas described in section IV of this document. Documentation will be expected to address the University's mission and the College of Business guidelines as directed in this guide. All documentation will be submitted to the Peer Review Committee through the candidate's Department Chair and the Office of the Dean.

Each candidate is expected to demonstrate integrity, competence, and servant leadership as defined in The College of Business guidelines as

- a *teacher*,
- a *scholar*, and
- a *member* of the University community.

#### **II. Guiding Principles**

##### **A. University Mission**

As a distinctive, comprehensive university of The Lutheran Church—Missouri Synod, centered in the Gospel of Jesus Christ and based in the liberal arts, Concordia University equips men and women to serve and lead with integrity, creativity, competence, and compassion in a diverse, interconnected, and increasingly urbanized church and world.

##### **B. Conceptual Framework**

**Integrity** is derived from Christian values and moral ethics which find expression in respect for diversity and professional ethics. Concordia Faculty:

- respect and support diversity in educational settings as related to learning styles, family structures, religion, beliefs, disabilities, gender, race, ethnicities, values, and socioeconomic status; and the mission of the University.
- demonstrate appropriate standards of conduct and ethical behavior congruent with the standards of their profession.

**Competence** is demonstrated in the areas of knowledge, skills, creativity, and dispositions. Concordia Faculty

- meet the standards of their profession;
- have a commitment to continuous professional development;
- impact all students' learning and development in a positive way;
- use a variety of assessment techniques appropriately; and
- engage in reflective practice.

**Servant leadership** is demonstrated by behavior which shows the individual's focus on the College of Business's mission, its personnel and resources to meet emerging identifiable needs. Concordia Faculty are servant leaders when they

- develop an inclusive vision for students' learning and development;
- create culture and programs that focus resources to support student learning and development; and
- build collaborative relationships that aid and support all student learning and development.

### **C. Teaching (Weighted 60 to 80%)**

The Faculty member applying for reappointment, advancement in rank, or tenure should prepare a reflective analysis of his or her teaching approach and philosophy. This reflective analysis should be limited to no more than three (3) pages.

The three broad dimensions of teaching effectiveness are:

- Faculty knowledge,
- Faculty practice, and
- Faculty growth & sharing.

*(For further description, please see [Appendix C.](#))*

#### **D. Scholarship (Weighted 0 to 20%)**

"Scholarship" within the professoriate is based on four functions which comprise the Profile of a Quality Faculty Member (Boyer 1997). Quality teaching and scholarship emphasizes discovery, integration, application, and teaching.

<b>Scholarship</b>	<b>Purpose</b>	<b>Measures of Performance</b>
Discovery	Build new knowledge through traditional research	Publishing in peer-reviewed forums Producing and/or performing creative work within established field Creating infrastructure for future studies
Integration	Interpret the use of knowledge across disciplines	Preparing a comprehensive literature review Writing a textbook for use in multiple disciplines Collaborating with colleagues to design and deliver a core course
Application	Aid Society and professions in addressing problems	Serving industry or government as an external consultant Assuming leadership roles in professional organizations Advising student leaders, thereby fostering their professional growth
Teaching	Study and apply teaching models and practices to achieve optimal learning	Advancing learning theory through classroom research Developing and testing instructional materials Mentoring graduate students. Designing and implementing a program level assessment system

#### **E. Service (Weighted 10 to 20%)**

*"You are not here merely to make a living. You are here in order to enable the world to live more amply, with greater vision, with a finer spirit of hope and achievement. You are here to enrich the world, and you impoverish yourself if you forget the errand."*

*--Woodrow T. Wilson (1856-1924) Twenty-eighth President of the USA.*

Service is defined as the contribution to the welfare of others and has these dimensions:

- Service to the Profession
- Service to the University
- Service to the College of Business
- Service to the church and community

### **III. The Peer Review Process and Timeline**

**A. Timeline/Submit Application Documents to Department Chair and then to Dean**

*(Application Timeline found in [Appendix A](#))*

**B. Confidentiality**

The Peer Review Committee may request an opportunity to review a Faculty member's student course evaluations during the review process. All requests must be submitted to the Dean for prior approval. The Faculty member's Department Chair may be called upon to discuss the Faculty member's performance with prior approval from the Dean. All documentation submitted to and recommendations made by the Peer Review Committee to the Dean are confidential.

**Confidential Letters; WAIVER OF RIGHT OF ACCESS BY CANDIDATE**

Confidential Letters are requested for the benefit of the University and the Candidate, in order to obtain candid assessments of the strengths and weaknesses of the Candidate. Where letters are designated as "confidential" as part of this process, such letters will be made available only to the Department Chair, the Dean, the Senior Vice President for Academics, the President and the Board of Regents for the sole purpose of evaluating the Candidate's application for reappointment, advancement in rank and/or tenure. All such persons are obligated to keep such letters strictly confidential. **BY SUBMITTING AN APPLICATION, THE CANDIDATE UNDERSTANDS THESE CONFIDENTIALITY PROVISIONS RELATING TO THE LETTERS, AND VOLUNTARILY AND EXPRESSLY WAIVES ANY AND ALL RIGHTS THAT THE CANDIDATE MAY HAVE TO ACCESS SAME UNDER ALL APPLICABLE LAWS, REGULATIONS, AND POLICIES.** The Candidate understands that the rights being waived include, but are not limited to, the right to inspect and review a letter, the right to have a copy of the letter made for personal use, the right to request an amendment or correction to the letter, and the right to provide supplementary or rebuttal information relating to the letter's contents.

**IV. Documentation**

The documentation required for reappointment, advancement in rank, and tenure includes a current curriculum vita, and a narrative analysis/reflection for each area listed below as aligned to the University mission and in relationship to the College of Business conceptual framework. The Peer Review Committee will give priority to analyses/reflections submitted for reappointment which address the time period since the issuance of a Faculty member's last contract. For advancement in rank the analyses/reflections should address the required years of experience. The peer review committee reserves the right to request additional documentation, if necessary.

**A. Curriculum Vita**

Provide an updated vita.

**B. Reflection Prompts and Guidelines for Analyses/Reflection (see [Appendix C](#)):**

**1. Teaching (Weighted 60 to 80%)**

**a. Professor's Knowledge**

Discuss your level of expertise. Present and describe examples of activities or representations that you use that are particularly effective for promoting learning of the subject matter that you teach.

**b. Professor's Practice**

Discuss your current practice as a teacher (in the classroom and/or online). For example, what types of activities are incorporated in your classes? How do you engage students face-to-face and/or online? How do you specifically address the needs of the adult learner? What do you do to challenge and motivate students? What do you do to support students who are not doing well? Describe any evidence that you believe points to the effectiveness of your teaching practice.

**c. Faculty Growth & Sharing**

Discuss your growth and sharing activities. For example, how do you evaluate your own teaching? How has experience informed your practice? How have you shared what you have learned about teaching with others? Present and describe any examples that serve as evidence of your activities for personal growth and teaching scholarship.

**2. Scholarship (Weighted 10 - 20%)**

**a. Scholarship of Discovery**

Discuss the ways that you have engaged in scholarly investigation, since the time of your last peer review.

**b. Scholarship of Integration**

Discuss the ways you have engaged in scholarly integration or synthesis, since the time of your last Faculty peer review.

**c. Scholarship of Application**

Discuss the ways in which you have used your disciplinary knowledge in the service of the broader society since the time of your last Faculty peer review.

**Peer Review Criteria for Scholarship of Application**

*Aid society and professions in addressing problems.*

- |  |  |
|--|--|
| <input type="checkbox"/> Does Not Meet | No connection to outside work in one's discipline. No link to professional organizations   |
| <input type="checkbox"/> Meets         | Mentorship to students and former students working with disciplinary knowledge.<br>Membership in a professional organization connected to one's discipline.<br>Contribution to society based on one's scholarly expertise. Working in partnership with an organization in the community using one's disciplinary knowledge.<br>Committee work in a professional organization. Policymaking or standards development at the district level. |



- ☐ Exceeds Consultation work with a large organization using one's disciplinary knowledge. Serving on the executive committee of a professional organization. Policymaking or standards development at the state level. Appointment to a government task force based on one's disciplinary expertise. Elected office in a professional organization. Policymaking or standards development at the national level.

Reviewer: \_\_\_\_\_

Professor: \_\_\_\_\_

### **3. Service as Servant Leadership (Weighted 10 - 20%)**

Service is defined as contributions to the welfare of others and has four dimensions: (a) service to the profession, (b) service to the College of Business, (c) service to the University, and (d) service to the church and community.

#### **a. Service to the Profession**

“Providing significant service to one's discipline, field of study, a professional organization.”

Present and describe examples of activities you have been involved in that have served your profession. Discuss your level of involvement in any of the following activities, including but not limited to, mentoring colleagues, serving as an officer or member of an organization within ones discipline, serving on a committee or work team, presenting a workshop at a conference, presenting a paper in one's field, planning a major conference in one's field, leading professional development activities in one's field, political activism on behalf of one's profession, serving as a consultant to schools or professional associations, serving on a review or accreditation team.

#### **Peer Review Criteria for Service to the Profession**

*Providing significant service to one's discipline, field of study, or a professional organization.*

- ☐ Does Not Meet No evidence documented to demonstrate service to the profession.
- ☐ Meets One or two examples demonstrating any of the following service activities: mentoring of colleagues, serving on a committee/work team, presenting a workshop at a conference, presenting a paper, planning a major conference in one's field, leading professional development activities, political activism on behalf of the profession, serving as a consultant to businesses or professional associations, serving on a review or accreditation team, or other professional service as documented.
- ☐ Exceeds Three or more examples demonstrating any of the following service activities: mentoring of colleagues, serving on a committee/work team, presenting a workshop at a conference, presenting a paper, planning a major conference in one's field, leading professional development activities, political activism on behalf of the profession, serving as a consultant to businesses or professional

associations, serving on a review or accreditation team, or other professional service as documented.

Reviewer: \_\_\_\_\_

Professor: \_\_\_\_\_

**b. Service to the College of Business**

Helps to develop the college of business by participating in recruiting events such as Jumpstart, visits to local high schools, community colleges and providing support to the undergraduate and graduate recruiters, organizes events and brings in business and community leaders to participate in them. Creates new areas of opportunity, gets involved in areas such as the Business Club, enculturation on domestic and foreign students, and supports the Department Chair and the Dean in their efforts to grow and build on the existing quality and reputation in place.

- ☐ Does Not Meet      No evidence of non-classroom service to the college.
- ☐ Meets                Service beyond classroom and committee work that develops the college branding, enrollment, and community outreach.
- ☐ Exceeds             Service beyond classroom and committee work that develops the college branding, enrollment, and community outreach, plus development of donors, internship providers, guest speakers, and new program development.

**c. Service to the University**

“Providing significant service to aspects of the University life, campus, community, and larger context”

Present and describe examples of activities or representations that you have had in service to the University. Discuss your level of involvement in any of the following activities, including but not limited to leadership roles in the University, college, department; active committee membership and committee work; program coordination, fund raising; mentoring, advising, or recruiting students; mentoring and advising Faculty or staff; participation in campus and/or University-wide governance bodies and related activities; contributions to department, college, and/or University programs to enhance equal opportunity and cultural diversity. **Peer Review Criteria for Service to the University**

Providing significant service to aspects of the University life, campus, community, and larger context

- ☐ Does Not Meet      No evidence documented to demonstrate service to the University life, campus, community, and larger context.

- ☐ Meets                      One or two examples demonstrating any of the following service activities: leadership roles, active committee membership and committee work, program coordinator, fund raising, mentoring, advising, recruiting students, mentoring and advising Faculty/staff, participation in campus and/or University-wide governance bodies and related activities, contributions to the department, college and/or University's programs to enhance equal opportunity and cultural diversity or other service as documented.
- ☐ Exceeds                      Three or more examples demonstrating any of the following service activities: leadership roles, active committee membership and committee work, program coordinator, fund raising leadership, mentoring, advising, recruiting students, mentoring and advising Faculty or staff, participation in campus and/or University-wide governance bodies and related activities, record of contributions to the department, college and/or University's programs to enhance equal opportunity and cultural diversity or other service as documented.

Reviewer: \_\_\_\_\_

Professor: \_\_\_\_\_

#### **d.        Service to the Church and Community**

“Providing significant service to the community, business community, church, religious organizations or other related activities”

Present and describe examples of activities or representations that you have had in service to your church, community, and business community. Discuss your level of involvement in any of the following activities, including but are not limited to community development, local government support, working with at risk populations, recreation and sports activities, arts and music (choirs or musical groups), work with children and children's organizations (youth groups), involvement and support for local schools, (private and public), honor societies, health and safety organizations, leadership in Bible studies, Sunday school, vacation Bible school (VBS), committee work for churches and religious organizations, lector, communion assistant, service to business and industry, service to public and private organizations, participation in community affairs, and service to governmental agencies at the international, federal, state, or local levels.

#### **Peer Review Criteria for Service to the Church and Community**

Providing significant service to the larger community, churches, religious organizations, or other related activities

- ☐ Does Not Meet        No evidence documented to demonstrate service to the church or community.

- Meets                      One or two examples demonstrating any of the following service activities: community development, local government support, working with at risk populations, recreation and sports activities, arts and music (choirs or musical groups) activities, work with children and children's organizations (youth groups), involvement and support for local schools (private and public), honor societies, health and safety organizations, leadership in bible studies, Sunday schools, VBS, committee work for churches and religious organizations, lector, communion assistant, service to business and industry, service to public and private organizations, participation in community affairs, service to public and private organizations, participation in community affairs, and service to governmental agencies at the international, federal, state, or local levels, or any other service related activities as documented.
  
- Exceeds                      Three or more examples demonstrating any of the following service activities: community development, local government support, working with at risk populations, recreation and sports activities, arts and music (choirs or musical groups) activities, work with children and children's organizations (youth groups), involvement and support for local schools (private and public), honor societies, health and safety organizations, leadership in bible studies, Sunday schools, VBS, committee work for churches and religious organizations, lector, communion assistant, service to business and industry, service to public and private organizations, participation in community affairs, service to public and private organizations, participation in community affairs, and service to governmental agencies at the international, federal, state, or local levels, or any other service related activities as documented.

Reviewer: \_\_\_\_\_

## **V. Criteria Considered for Reappointment, Advancement in Rank, Tenure**

Reappointment, advancement in rank, and granting of tenure are based on merit, rather than being automatic or routine.

### **A. Reappointment**

Faculty members seeking reappointment must meet the following criteria:

- Provide the required documentation for reappointment as defined under section IV in this document.
- Achieve a rating of "Meets" in all applicable subareas of the reflective guidelines in Teaching, Scholarship, and Service.
- Meet with the Peer Review Committee for an interview.
- Meet with the Dean of the College for an interview.

## **B. Advancement in Rank**

### **1. Instructor to Assistant Professor**

For advancement in rank from Instructor to Assistant Professor, Faculty members must meet the following criteria:

- Provide the required documentation for advancement as defined under section IV of this document.
- Achieve a rating of “Meets” in all applicable subareas of the reflective guidelines in Teaching, Scholarship, and Service.
- Hold a Master’s degree.
- Have progress towards a doctorate.
- Have a minimum of two (2) years of experience in higher education.
- Meet with the Peer Review Committee for an interview.
- Meet with the Dean of the College for an interview.

### **2. Assistant Professor to Associate Professor**

For advancement in rank from Assistant Professor to Associate Professor, Faculty members must meet the following criteria:

- Provide the required documentation for advancement as defined under section IV of this document.
- Achieve a minimum rating of “Exceeds” in one applicable subarea of the reflective guidelines in each of Teaching, Scholarship, and Service while maintaining a rating of “Meets” in all other applicable subareas.
- Have at least four (4) years of experience at the rank of assistant professor in higher education.
- Hold an earned doctorate
- Meet with the Peer Review Committee for an interview.
- Meet with the Dean of the College for an interview.

### **3. Associate Professor to Professor**

For advancement in rank from Associate Professor to Professor, Faculty members must meet the following criteria:

- Provide the required documentation for advancement as defined under section VI of this document.

- Achieve a minimum rating of “Exceeds” in one subarea of the reflective guidelines in each of Teaching, Scholarship, and Service with an additional “Exceeds” in any of the other subareas while maintaining a rating of “Meets” in all other subareas.
- Have at least six (6) years of experience at the rank of associate professor in higher education.
- Hold an earned doctorate.
- Meet with the Peer Review Committee for an interview.
- Meet with the Dean of the College for an interview.
- Serve as exemplars to their colleagues in the areas of teaching, scholarship, and service

### **C. Tenure**

To achieve tenure, Faculty members must meet the following criteria:

- Provide the required documentation for tenure as defined under section VI of this policy and of section 3 in this *Faculty Handbook*.
- Achieve a minimum rating of “Exceeds” in six subareas of the reflective guidelines in Teaching (two or more subareas), Scholarship (two or more subareas), and Service (two or more subareas) while maintaining a rating of “Meets” in all other subareas.
- The Faculty member shall have completed 4-6 years of creditable service as a member of the Faculty at one or more educational institutions of The Lutheran Church—Missouri Synod; of which the last two years must have been in the institution currently serving. The Faculty member must be at the rank of assistant professor or higher rank in higher education. Periods of leave are not to be included in the calculation of service. (Compliance with 2012 edition of the LCMS Handbook: 3.10.5.6.2)
- Hold an earned doctorate.
- Meet with the Peer Review Committee for an interview.
- Meet with the Dean of the College for an interview.
- Serve as exemplars to their colleagues in the areas of teaching, scholarship and service.

These guidelines are aligned to the policies set forth in this *Faculty Handbook*.

### **VI. Appendix A<sup>31</sup>**

by July 1	The Dean will notify the Faculty member and the Dept. Chair of eligibility for reappointment. The Faculty member will
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<sup>31</sup> The Dean may announce a slightly revised schedule for a particular year; however the dates of October 15 and November 1 are fixed.

	prepare documentation required for reappointment, advancement in rank, and/or tenure.
by July 15	The Peer Review Committee will meet to elect a chair. Task assignments will be distributed within the committee.
by Aug. 1	The Dept. Chair will submit documents to the Peer Review Committee and the Office of the Dean. The Peer Review Committee will review the submitted documentation and schedule and meet with the Faculty member.
by Aug. 15	The Peer Review Committee will have met with the Faculty member and completed its recommendations relative to reappointment. Recommendations will be forwarded to the dean.
by Sept. 1	The dean will submit his/her recommendations and that of the Peer Review Committee to the Senior Vice-President for Academics.
by Sept. 15	The Faculty member will meet with the Office of the Dean to discuss the final recommendations. Copies of all recommendations will be provided to the Faculty member.
by Oct. 1	Upon action of the Board of Regents, the candidate for reappointment will be informed of the Board's decision either by the Dean or by the Senior Vice-President for Academics. Candidates for advancement in rank or tenure will be informed of the Board's decision after either the Spring or Summer meeting.
by Oct. 15	The Peer Review Committee will complete and forward to the dean recommendations relative to advancement in rank and tenure.
by Nov. 1	The Dean will meet with the Faculty member to discuss advancement in rank and tenure recommendations. The decisions for advancement in rank/tenure will be forwarded to the Senior Vice-President for Academics.

\*Floating Wednesday dates may be assigned to allow leeway each week to seek guidance before deadlines and allow follow-up without the interference of weekends and holidays.

\*\*Note: The Peer Review Committee may choose to combine the process of reappointment and advancement in rank and complete all of the reviews in the Fall.

## **VII. Appendix B: PEER REVIEW PRESENTATION FORMAT**

### **A. MATERIALS**

1. All documents submitted must be in an electronic format.
2. The preferred formats are:
  - a. WORD – DOCX files
  - b. EXCEL – XLSX files

- c. POWERPOINT – PPTX files
- d. PDF created through the SAVE AS capability in many programs- PDF
- 3. Images scanned into a PDF format are NOT preferred and should only be used as a last resort. Images scanned should be scanned at 150 DPI in order to limit the file size
- 4. Black and white or color documents are acceptable
- 5. Avoid “print-ready” PDFs, such as those prepared for professional printing. Whenever possible, select to optimize the document for online publishing rather than print to minimize file size.
- 6. Do not utilize any security measures to password-protect PDF files or otherwise limit access/editing.
- 7. Portrait or landscape orientations are acceptable
- 8. Paper sizes larger than 8 ½” by 11” are supported, realizing that the image will be shrunk to fit the screen size of the viewing device. The user will be able to zoom and pan around to view the entire page.

## **B. CONTENT**

- 1. Current Curriculum Vita
- 2. Reflection
  - a. Teaching
  - b. Scholarship
  - c. Service
- 3. Summary\*
  - a. Student Reviews—It is recommended that student reviews be summarized by class rather than attaching printout of each class’s statistical analysis.
  - b. Additional supporting documentation

\* The committee may request actual documentation.

## **VIII. Appendix C.**

### **II. C. Teaching**



The effective teaching of students is central to the mission of the Concordia University Chicago College of Business. Faculty members have significant instructional responsibilities. Boyer (1990)<sup>32</sup> states that teaching, “involves developing the knowledge, skill, mind, character, or ability of others. It means not only transmitting knowledge, but transforming and extending it as well. Teaching stimulates active, not passive, learning and encourages students to be critical, creative thinkers, with the capacity to go on learning . . . it is a dynamic endeavor involving all the analogies, metaphors, and images that build bridges between the teacher’s understanding and the student’s learning. Pedagogical procedures must be carefully planned, continuously examined and relate directly to the subject taught” (pp. 23-24).

A statement of academic philosophy and practice as it applies to the learning experiences of students both within and outside the classroom should focus on the instructor’s knowledge, experiences, practice, continuing academic and experiential growth and the sharing of that growth with students.

#### **IV. B. 1. Teaching**

Boyer’s work on the scholarship of teaching (1990) and the literature on teaching in higher education suggest that teaching is best assessed through a review along multiple dimensions. Theall and Centra (2001), for example, argue that there are three important features or components of the scholarship of teaching that can be assessed:

- discipline and pedagogical knowledge (Faculty knowledge),
- learning outcomes and teaching practices (Faculty experience and practice), and
- a shared public account of teaching (Faculty growth and sharing).

##### **IV. B. 1. a. Professor’s Knowledge**

Limit this section of your written documentation to about 1-2 pages for each area or a total of 3-6 pages. Focus on the components listed below.

“As a scholarly enterprise, teaching begins with what the teacher knows. Those who teach must, above all, be well informed, and steeped in the knowledge of their fields.” (Boyer, 1990)

Three types of knowledge that effective Faculty possess are:

- content knowledge (knowledge of the subject being taught);
- general pedagogical knowledge (knowledge of general principles and strategies of teaching and learning); and
- pedagogical content knowledge (knowledge of how to teach specific subject matter content in a particularly effective manner).

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<sup>32</sup> The entire bibliography on which this policy and process is based can be obtained from the College of Business in the document *College of Business: Policies and Procedures for Reappointment, Advancement in Rank, and Tenure*, 12/13.

#### **IV. B. 1. b. Professor's Practice**

The purpose of developing a knowledge base for teaching is the eventual application of this knowledge to actual teaching and learning. There are many important dimensions of effective teaching in the classroom and online.

These include:

- instructor demeanor (enthusiastic, caring, professional, accessible);
- student engagement and motivation (stimulates student interest);
- preparation/organization (relevant materials, varied and well sequenced use of learning activities like discussions and lectures, course well organized);
- communication (communicates clearly);
- classroom management and classroom climate (maintains a positive environment, encourages and addresses student questions well, learner-centered); and
- student assessment (fair and appropriate measures, timely feedback)

#### **IV. B. 1. c. Faculty Growth & Sharing**

Faculty growth begins with a focus on the ability to engage students in learning. This can be enhanced by participation in Faculty seminars which focus on teaching and learning.

“Good teaching means that Faculty, as scholars, are also learners,” (Boyer 1990)—that is, they continue to learn how to teach more effectively. Examples provided by Boyer to illustrate Faculty continuous learning include activities “through reading, through classroom discussion, and surely through comments and questions posed by students.” Building on Boyer’s work, Felder (2000) and others argue that the scholarship of teaching should include the public sharing of lessons learned about teaching and learning to help influence teaching as broadly practiced in the field.

The following activities are considered important for Faculty growth and sharing:

- reading the literature on teaching and learning;
- improving one’s teaching by applying the literature on teaching and learning;
- improving one’s teaching by investigating one’s own teaching practice; and
- improving teaching and learning within the discipline generally by sharing one’s own work publicly with colleagues.

#### **IV. B. 2. Scholarship**

According to Boyer (1990), scholarship in the academic community among Faculty members should demonstrate engagement in four types of inquiry: (a) discovery, (b) integration, (c) application, and (d) teaching. The potential for contributions to knowledge in each of these areas is substantial and it is hoped that all Faculty at Concordia University Chicago, College of Business, will be involved in such endeavors. In this section of your written documentation, not exceeding two (2) pages, focus on the following:

- scholarship of discovery;
- scholarship of integration;
- scholarship of application; and
- scholarship of teaching

#### **IV. B. 2. a. Scholarship of Discovery**

“No tenets in the academy are held in higher regard than the commitment to knowledge for its own sake, to freedom of inquiry and to following, in a disciplined fashion, an investigation wherever it may lead” (Boyer, 1990, p. 17).

Boyer (1990) celebrates pure inquiry both for its broad contribution to human understanding of the world and for its effect on the academic institution itself, noting how the breathless pursuit of knowledge can be exhilarating and contagious. Mooney (1957) goes deeper by acknowledging the potential in research for self-realization: “It can be taken as a way of meeting life with the maximum of stops open to get out of experience its most poignant significance, its most full-throated song” (p. 155).

#### **IV. B. 2. b. Scholarship of Integration**

By integration, we mean making connections across the disciplines, placing specialties in larger context, illuminating data in a revealing way, often educating non-specialists, too” (Boyer, 1990, p. 18).

Boyer emphasizes the importance of this area of scholarship for providing perspective, “fitting one’s own research, or the research of others, into larger intellectual patterns” (p. 19). It is just this kind of interdisciplinary approach that allows for truly groundbreaking progress.

#### **IV. B. 2. c. Scholarship of Application**

“The third element of scholarship, application of knowledge, moves toward engagement as the scholar asks, “How can knowledge be responsibly applied to consequential problems? How can it be helpful to individuals as well as institutions?” (Boyer, 1990, p. 21).

Boyer conceptualizes this area of scholarship as a response by the academy to “the needs of the larger world” (p. 22). He is careful to differentiate this from the broader notion of Faculty ‘service’ responsibilities, however, noting that scholarship of application “must be directly tied to one’s special field of knowledge and relate to, and flow directly out of, this professional activity. Such service is serious, demanding work, requiring the rigor—and the accountability—traditionally associated with research activities” (p. 22).

#### **IV. B. 3. Service as Servant Leadership**

Effective Faculty members work collaboratively and collegially with others to develop strong learning communities that support and strengthen the profession, the University, colleges, departments, and the wider communities served.

The key traits of a servant leader according to Greenleaf (1970) are listening, empathy, healing, awareness, persuasion, conceptualization, foresight, stewardship, commitment to the growth of people, and building community. In this section of your written documentation, limited to about two (2) pages, focus on your service to

- the profession,
- the College of Business,
- the University, and
- the Church and community

#### **3.4.5.8 COLLEGE OF EDUCATION REAPPOINTMENT, ADVANCEMENT IN RANK, AND TENURE**

##### **I. Introduction**

The quality of education provided by Concordia University Chicago (CUC) is sustained through the dedicated and creative work of each Faculty member. Objective, systematic, and thorough appraisal of each candidate for initial and continued appointment, advancement in academic rank, and/or the granting of tenure are vital to the fulfillment of the University's mission. The purpose of these guidelines is to provide common criteria and procedures for reappointment, advancement in rank, and tenure for all Faculty members in the College of Education.

Reappointments, advancements in rank, and the granting of tenure are based on merit. These are awarded to recognize the level of a Faculty member's accomplishments and contributions to the mission of the University in teaching, scholarship, and service.

The role of the Peer Review Committee, Program Coordinators, and Office of the Dean, is advisory. Each of these levels is responsible for recommending Faculty for reappointment, advancement in rank, and tenure. Final awarding decisions rest with the President of the University and Board of Regents. College-level reviewers base their recommendations on an evaluation of carefully prepared candidate documents as well as the individual and unique accomplishments and contributions of each Faculty member.

Faculty members who are eligible for reappointment, advancement in rank, and/or tenure will be expected to demonstrate accomplishments and contributions in the required areas described in sections VI and VII of this document. Documentation will be expected to address the University's mission and the College of Education's conceptual framework. All documentation will be submitted to the Peer Review Committee through the Office of the Dean.

## II. Guiding Principles

### A. University Mission

As a distinctive, comprehensive university of The Lutheran Church—Missouri Synod, centered in the Gospel of Jesus Christ and based in the liberal arts, Concordia University equips men and women to serve and lead with integrity, creativity, competence, and compassion in a diverse, interconnected, and increasingly urbanized church and world.

### B. Conceptual Framework

**Integrity** is derived from Christian values and moral ethics and finds expression in respect for diversity and in professional ethics. Concordia Faculty

- respect and support diversity in educational settings as related to learning styles, family structures, religion, beliefs, disabilities, gender, race, ethnicities, values, and socioeconomic status; and
- demonstrate appropriate standards of conduct and ethical behavior congruent with the standards of their profession.

**Competence** is demonstrated in the areas of knowledge, skills, creativity, and dispositions. Concordia Faculty

- meet the standards of their profession;
- have a commitment to continuous professional development;
- impact each learner's growth and development in a positive way;
- use a variety of assessment techniques appropriately; and
- engage in reflective practice.

**Servant leadership** is the ability to focus an organization's mission, personnel, and resources to meet identified needs. Concordia Faculty are servant leaders who

- develop an inclusive vision for students' growth and development;
- create a culture and programs that focus resources to support each student's learning and development; and
- build collaborative relationships that aid and support each student's learning and development.

## III. Faculty Responsibilities

Each candidate applying for reappointment, advancement in rank, and/or tenure is expected to demonstrate integrity, competence, and servant leadership as defined in the conceptual framework as

- a *teacher*,
- a *scholar*, and
- a *member* of the University community.

#### **A. Teaching (Weighted 80%)**

The effective teaching of students is central to the mission of CUC. Faculty members have significant instructional responsibilities. Boyer (1990) states that teaching, “involves developing the knowledge, skill, mind, character, or ability of others. It means not only transmitting knowledge, but transforming and extending it as well. Teaching stimulates active, not passive, learning and encourages students to be critical, creative thinkers, with the capacity to go on learning . . . it is a dynamic endeavor involving all the analogies, metaphors, and images that build bridges between the teacher’s understanding and the student’s learning. Pedagogical procedures must be carefully planned, continuously examined and relate directly to the subject taught” (pp. 23-24).

The three broad dimensions of teaching effectiveness are

- Faculty knowledge,
- Faculty practice, and
- Faculty growth & sharing.

#### **B. Scholarship (Weighted 10%)**

As defined by Boyer (1990), “scholarship” within the professoriate is based on four functions which makeup the Profile of a Quality Faculty Member. He recommends that this model be based upon life patterns of individuals and their passions through “creativity contracts” that will emphasize quality teaching and allow for individualization. The four functions include (a) discovery (building new knowledge through traditional research), (b) integration (interpret knowledge across disciplines), (c) application (aid society and professions in addressing problems), and (d) teaching (study teaching models to achieve optimal learning).

The four areas of scholarship include:

- Discovery
- Integration
- Application
- Teaching

#### **C. Service (Weighted 10%)**

Service is defined as the contribution to the welfare of others and has three dimensions:

- Service to the Profession
- Service to the University
- Service to the Church and Community

### **The Peer Review Process and Timeline**

#### **Timeline for Submission of Applicant Documentation to Department Chairs and then to Deans**

By Sept. 1	The Dean will notify the Faculty member and the Department Chair of eligibility for reappointment. The Faculty member will prepare the documentation required for reappointment, advancement in rank, and/or tenure. <sup>33</sup>
By Sept. 15	The Peer Review Committee will receive information on those Faculty who are eligible for re-appointment, advancement in rank, and/ tenure. Task assignments will be distributed within the committee. This is also the deadline for candidates to file a letter of intent to apply for reappointment, advancement in rank, and/or tenure.
By Oct. 1	Faculty peer review documentation will be submitted to the Office of the Dean
By Oct. 15	The Office of the Dean will submit candidate documents to the Peer Review Committee.
	The Peer Review Committee will review the submitted documentation and schedule to meet with the Faculty member.
By Nov. 1	The Peer Review Committee will have met with the Faculty member and completed its recommendations relative to reappointment. Recommendations will be forwarded to the Dean. (Note: The Peer Review Committee may choose to combine the process of reappointment and advancement in rank and complete all of the reviews in the Fall.)
By Nov. 15	The Dean will submit his/her recommendations and the recommendations of the Peer Review Committee to the Senior Vice-President for Academics.

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<sup>33</sup> The Dean may announce a slightly revised schedule for a particular year; however the dates of October 15 and November 1 are fixed.

## **Anonymity and Confidentiality Disclosures**

The Peer Review Committee is bound to protect the confidentiality of submitted documentation and the anonymity of committee member deliberations and recommendations submitted to the Office of the Dean. Subsequent confidentiality and privacy of applicant information and documentation submitted to the Board of Regents is not guaranteed.

## **Confidential Letters; WAIVER OF RIGHT OF ACCESS BY CANDIDATE**

Confidential Letters are requested for the benefit of the University and the Candidate, in order to obtain candid assessments of the strengths and weaknesses of the Candidate. Where letters are designated as “confidential” as part of this process, such letters will be made available only to the Department Chair, the Dean, the Senior Vice President for Academics, the President and the Board of Regents for the sole purpose of evaluating the Candidate’s application for reappointment, advancement in rank and/or tenure. All such persons are obligated to keep such letters strictly confidential. **BY SUBMITTING AN APPLICATION, THE CANDIDATE UNDERSTANDS THESE CONFIDENTIALITY PROVISIONS RELATING TO THE LETTERS, AND VOLUNTARILY AND EXPRESSLY WAIVES ANY AND ALL RIGHTS THAT THE CANDIDATE MAY HAVE TO ACCESS SAME UNDER ALL APPLICABLE LAWS, REGULATIONS, AND POLICIES.** The Candidate understands that the rights being waived include, but are not limited to, the right to inspect and review a letter, the right to have a copy of the letter made for personal use, the right to request an amendment or correction to the letter, and the right to provide supplementary or rebuttal information relating to the letter’s contents.

## **Documentation**

The documentation required for reappointment, advancement in rank, and/or tenure includes *a philosophy statement, current curriculum vitae, and a narrative analysis/reflection for each area* listed below as aligned to the University mission and in relationship to the College’s conceptual framework. The Peer Review Committee will give priority to analyses/reflections submitted for reappointment which address the time period since the issuance of a Faculty member’s last contract. For advancement in rank the analyses/reflections should address the required years of experience. The Peer Review Committee may request an opportunity to review a Faculty member’s student course evaluations during the review process. All requests must be submitted to the Office of the Dean for prior approval. *The peer review committee has the right to request additional relevant and appropriate documentation, if necessary.*

## **Philosophy Statement**

Create a philosophy statement that exhibits organization and coherence, reflecting one or more philosophic systems and/or theories of education.

## **Curriculum Vitae**

Provide a current and comprehensive vita.

## **Reflection Prompts and Guidelines for Analyses/Reflection:**



Documentation should adhere to the *Publication Manual of the American Psychological Association* (2010) with regard to format and citations. Please note that artifacts are not to be submitted with documentation, but may be requested.

### **Teaching (Weighted 80%)**

Boyer's work on the scholarship of teaching (1990) and the literature on teaching in higher education suggest that teaching is best assessed through a review along multiple dimensions. Theall and Centra (2001), for example, argue that there are three important features or components of the scholarship of teaching that can be assessed: (a) discipline and pedagogical knowledge (teacher knowledge), (b) learning outcomes and teaching practices (teaching practice), and (c) a shared public account of teaching (for growth and sharing). An integration of Boyer's views with those of other relevant scholars suggests that Faculty members are accountable in three areas which include

Faculty knowledge,

Faculty practice, and

Faculty growth & sharing.

Limit this section of your written documentation to about two (2) pages for each of the three areas for a total of six (6) pages.

#### **a. Faculty Knowledge**

"As a scholarly enterprise, teaching begins with what the teacher knows. Those who teach must, above all, be well informed and steeped in the knowledge of their fields"<sup>34</sup>

Boyer states that teaching, when considered as a scholarly enterprise, "begins with what the teacher knows" (p. 23). Literature on what an effective teacher knows is broad and there are many ways this knowledge can be categorized. Borrowing from Shulman (1987), three key types of knowledge appear to be content knowledge, general pedagogical knowledge, and pedagogical content knowledge. Historically, there has been an emphasis on the content knowledge of teachers (Shulman, 1986) which is knowledge of specific subject matter such as chemistry or economics. More recently, some have emphasized the general pedagogical knowledge of teachers (Ball & McDiarmid, 1990) which is knowledge of general principles and strategies of teaching that seem to transcend subject matter. Shulman (1987) argues that the blending of content and pedagogy, leads to uniquely effective teaching/learning activities and representations, that are subject-area specific. He calls this pedagogical content knowledge.

In summary, three types of knowledge that effective Faculty possess are

content knowledge (knowledge of the subject being taught);

general pedagogical knowledge (knowledge of general principles and strategies of teaching and learning);  
and

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<sup>34</sup> Boyer, E. L., *Scholarship Reconsidered: Priorities of the Professoriate*. (Princeton, N.J.: The Carnegie Foundation for the Advancement of Teaching, 1990), P. 23.

pedagogical content knowledge (knowledge of how to teach specific subject matter content in a particularly effective manner).

Discuss your level of expertise in each of the above areas. Present and describe examples of activities or representations that you use that are particularly effective for promoting learning of the subject matter that you teach. Limit this section of your documentation to about two (2) pages.

### **b. Faculty Practice**

“The work of the professor becomes consequential only as it is understood by others. . . . Teaching both educates and entices future scholars . . . pedagogical procedures must be carefully planned, continuously examined, and related directly to the subject taught” (Boyer, 1990).

The purpose of developing a knowledge base for teaching is the eventual application of this knowledge to actual teaching and learning. There are many important dimensions of effective teaching in the classroom and online. Some that are frequently mentioned in the literature on teaching in the higher education environment include the following (Cashin, 1988; Hativa, Barak, & Simhi, 2001; Kreber, 2006; Ory & Ryan, 2001; Witcher, Onwuegbuzie, Collins, Filer, Wiedermaier, & Mooere, 2003; Young & Shaw, 1999):

instructor demeanor (enthusiastic, caring, professional, accessible);

student engagement and motivation (stimulates student interest);

preparation/organization (relevant materials, varied and well sequenced use of learning activities like discussions and lectures, course well organized);

communication (communicates clearly);

classroom management and classroom climate (maintains a positive environment, encourages and addresses student questions well, learner-centered); and

student assessment (fair and appropriate measures, timely feedback).

Discuss your current practice as a teacher (in the classroom and/or online) as you consider each of the dimensions listed above. For example, what types of activities are incorporated in your classes? How do you engage students face-to-face and/or online? How do you specifically address the needs of the adult learner? What do you do to challenge and motivate students? What do you do to support students who are not doing well? Describe any evidence that you believe points to the effectiveness of your teaching practice. This section of your written documentation should be limited to about two (2) pages.

### **c. Faculty Growth & Sharing**

“Further, good teaching means that Faculty, as scholars, are also learners...” (Boyer, 1990, p. 24).

Boyer (1990) states that “good teaching means that Faculty, as scholars, are also learners,” that is, they continue to learn how to teach more effectively. Examples provided by Boyer to illustrate Faculty continuous learning include activities “through reading, through classroom discussion, and surely through comments and questions posed by students” (p. 24). Building on Boyer’s work, Kreber and Cranton (2000), Felder (2000), and others argue that the scholarship of teaching should include the public sharing of lessons learned about teaching and learning to help influence teaching as broadly practiced in the field.

Trigwell, Martin, Benjamin, and Prosser (2000) empirically identify specific categories of activities for the scholarship of teaching, that capture this ongoing learning and sharing. Building on their categories, the following activities are considered important for Faculty growth and sharing:

reading the literature on teaching and learning;

improving one's teaching by applying the literature on teaching and learning;

improving one's teaching by investigating one's own teaching practice; and

improving teaching and learning within the discipline generally by sharing one's own work publicly.

Discuss your growth and sharing activities as you consider the above categories. For example, how do you evaluate your own teaching? How has experience informed your practice? How have you shared what you have learned about teaching with others? Present and describe any examples that serve as evidence of your activities for personal growth and teaching scholarship. This section of your written documentation should be limited to about two (2) pages.

***[Remainder of page intentionally left blank]***

## Peer Review Criteria for Teaching

### a. Faculty Knowledge

	Does not meet	Meets	Exceeds
<b>Content Knowledge</b> (knowledge of the subject being taught)	Does not demonstrate mastery of content knowledge through either practice or academic accomplishment	Contributes content knowledge to departmental conversations and projects Student evaluations demonstrate competency with instructor content knowledge Making reasonable progress towards a terminal degree Dean's evaluation demonstrates instructors competency in content knowledge Syllabi/course outline provides evidence of content knowledge.	Holds a terminal degree in the field (or relevant closely related field) Student evaluations demonstrate excellence in content knowledge Dean's evaluation demonstrates excellence in content knowledge Has written state or national accountability reports demonstrating content knowledge that have resulted in approvals and recognitions. Syllabi/course outline provides evidence of significant content knowledge.
<b>General Pedagogical Knowledge</b> (knowledge of general principles and strategies of teaching and learning)	Little or no evidence demonstrating a strong understanding of general pedagogical principles and strategies	Presents evidence of the use of general teaching/learning strategies (i.e., lectures, discussions, small group activities, problem solving, etc.) in courses. (Syllabi) Student evaluations demonstrate competency with instructor's pedagogy Dean's evaluation demonstrates instructors competency with instructor's pedagogy	Presents evidence of the use of a variety of effective teaching/learning strategies (i.e., lectures, discussions, small group activities, problem solving, technology integration etc.) in courses. (Syllabi/course outline) Understands and can explain various <b>theoretical models</b> of teaching and learning Can explain from a theoretical perspective, the strengths and weaknesses of various general teaching strategies (that is, explain <b>why</b> various strategies work well or don't work well)
<b>Pedagogical Content Knowledge</b> (knowledge of how to teach specific subject matter content in a particularly effective manner)	Little or no evidence demonstrating a strong understanding of discipline-specific activities or representations for teaching specific subject matter content	Presents evidence of the use of, and can describe discipline specific activities or representations that are especially helpful for teaching/learning in the field. (Syllabi) Student evaluations demonstrate competency with instructor's PCK Dean's evaluation demonstrates instructors competency with instructor's PCK	Presents evidence of the use of, and can describe discipline specific activities or representations that are especially helpful for teaching/learning in the field. (Syllabi) Student evaluations demonstrate excellence with instructor's PCK Dean's evaluation demonstrates instructors excellence with instructor's PCK Understands and can explain various <b>theoretical models</b> of how <b>knowledge in the field</b> is acquired and refined in the learner Can explain <b>why</b> specific strategies are particularly effective for teaching/learning content in the field

## b. Faculty Practice

	Does not meet	Meets	Exceeds
<b>Instructor demeanor</b> (enthusiastic, caring, professional, accessible)	<p>Little or no evidence of consistently projecting positive affective characteristics</p> <p>Is disrespectful or demeaning to students</p> <p>Demonstrates dispositions that are not a good model for future teachers of children and/or church workers.</p>	<p>Recognizes importance of and projects important affective characteristics (i.e. enthusiasm, professionalism, compassion, etc.)</p> <p>Treats students with appropriate respect</p> <p>Models dispositions that are appropriate for future teachers of children and/or church workers.</p> <p>Provides support for struggling students (academic, personal)</p>	<p>Is recognized by students and/or other Faculty as being especially good at projecting enthusiasm, professionalism, compassion, etc.</p> <p>Treats students with appropriate respect</p> <p>Models dispositions that are appropriate for future teachers of children and/or church workers.</p> <p>Provides support for struggling students (academic, personal)</p>
<b>Student engagement and motivation</b> (stimulates student interest)	<p>Little or no evidence of the use of a variety of effective approaches to motivate students and stimulate interest in subject matter</p>	<p>Provides evidence of the use a variety of effective approaches to motivate students and stimulate interest in subject matter</p> <p>(syllabus, course outline, evaluations)</p>	<p>Provides evidence of the creation of and/or introduced novel activities or unique innovative strategies to demonstrably stimulate student interest in subject matter.</p> <p>(syllabus, course outline, evaluations)</p>
<b>Preparation / Organization</b> (relevant materials, varied and well sequenced use of learning activities like discussions and lectures, course well organized)	<p>Little or no evidence of preparing and using varied and conceptually sound sequence of classroom activities for learning content</p>	<p>Class activities are well organized and highly relevant</p> <p>Class activities are varied and appropriately sequenced to promote learning</p> <p>Physical and electronic materials prepared for class are relevant and look professional</p> <p>(syllabus, course outline, evaluation)s</p>	<p>Materials prepared for classes are highly regarded and used by others in the department</p> <p>Is recognized by students and/or other Faculty for creating extremely well organized and sequenced activities</p> <p>(syllabus, course outline, evaluations)</p>
<b>Communication</b> (communicates clearly)	<p>Little or no evidence of using appropriate methods for communicating in face-to-face, online, and/or hybrid courses. Fails to respond to email and voicemail in a timely fashion</p>	<p>Verbal communication is clear and effective</p> <p>Written communication is clear and concise</p> <p>Uses appropriate methods for communicating in face-to-face, online, and/or hybrid courses</p>	<p>Develops and uses innovative methods to enhance communication with students</p> <p>Uses technology to organize instruction and communicate to students</p>

			Is recognized by students and/or other Faculty for being a highly effective communicator
<b>Classroom management and classroom climate</b> (maintains a positive environment, encourages and addresses student questions well, learner-centered)	Little or no evidence of effective classroom management and positive classroom climate	<p>Maintains a positive and professional classroom environment.</p> <p>Leads class effectively through prepared activities</p> <p>Encourages questions from students and address them effectively.</p> <p>Creates a learner-centered atmosphere</p>	<p>Is recognized by students and/or other Faculty for creating a very positive learning environment</p> <p>Is recognized by students and/or other Faculty for being especially effective at managing the class and leading class activities</p>
<b>Student assessment</b> (fair and appropriate measures, timely feedback)	<p>Does not use all department/course approved assessment methods</p> <p>Does not provide regular and timely feedback to students</p>	<p>Uses all appropriate department/course assessment methods during teaching to assess student learning</p> <p>Grading of assignments is fair and consistent</p> <p>Provides regular and timely feedback to students on assignments</p> <p>(syllabus, course outline, evaluations)</p>	<p>One or more examples of the following:</p> <p>Develops and uses additional formative assessment methods/instruments to inform teaching</p> <p>Develops and uses additional research-based summative assessment methods/instruments to assess teaching effectiveness</p> <p>(syllabus, course outline, evaluations)</p> <p>Uses technology to assess students</p>

*[Remainder of page intentionally left blank]*

### c. Faculty Growth and Sharing

	Does not meet	Meets	Exceeds
<b>Reading the literature on teaching and learning</b>	No evidence of reading the literature on teaching and learning	Reads a journal articles and/or books about teaching and learning from general publications  Attends a professional conference (virtual or face to face)	Reads several articles and/or books about teaching and learning from peer-reviewed journals  Attends several professional conferences (virtual or face to face)  Participates in the peer review of teaching/learning articles for conferences and publications
<b>Applying literature to one's teaching</b>	No evidence of applying the literature to one's teaching	Reflects on teaching theory to enhance teaching  Develops and uses new instructional strategies based on the literature, in one's teaching	Develops new instructional units for courses based on application of ideas and theory from the literature  Revises courses based on application of ideas and theory from the literature
<b>Investigating one's own teaching</b>	No evidence of reflection on one's own teaching practice	Reflects on teaching experience to enhance teaching  Solicits student feedback on teaching  Develops and deploys new instructional strategies (based on informed pedagogical decisions) within one's own classes	Conducts formal research on classroom materials and teaching techniques  Develops and deploys new instructional strategies (based on informed pedagogical decisions) for department-wide use  Demonstrates an ability to engage in problem solving and applying novel solutions to teaching dilemmas.
<b>Sharing work publically</b>	No evidence of publishing or sharing knowledge regarding teaching with colleagues	Communicates learned knowledge about teaching/learning with colleagues  Makes public learned knowledge  Open to critique within local community	Publishes/presents nationally and internationally on teaching or learning  Open to public critique

### Scholarship (Weighted 10%)

According to Boyer (1990), scholarship in the academic community among Faculty members should demonstrate engagement in four types of inquiry: (a) discovery, (b) integration, (c) application, and (c) teaching. The potential for contributions to knowledge in each of these areas is substantial and it is hoped that all Faculty at Concordia University Chicago will be involved in such endeavors. The scholarship of teaching is addressed in the writing prompts on Teaching (section VI.C.1). In this section of your written documentation, limited to about two (2) pages, focus on the

scholarship of discovery;

scholarship of integration; and

scholarship of application.

### **a. Scholarship of Discovery**

“No tenets in the academy are held in higher regard than the commitment to knowledge for its own sake, to freedom of inquiry and to following, in a disciplined fashion, an investigation wherever it may lead”<sup>35</sup>

Boyer (1990) celebrates pure inquiry both for its broad contribution to human understanding of the world and for its effect on the academic institution itself, noting how the breathless pursuit of knowledge can be exhilarating and contagious. Mooney goes deeper by acknowledging the potential in research for self-realization: “It can be taken as a way of meeting life with the maximum of stops open to get out of experience its most poignant significance, its most full-throated song”<sup>36</sup>.

Discuss the ways that you have engaged in scholarly investigation, since the time of your last peer review.

### **b. Scholarship of Integration**

“By integration, we mean making connections across the disciplines, placing specialties in larger context, illuminating data in a revealing way, often educating non-specialists, too.”

Boyer emphasizes the importance of this area of scholarship for providing perspective, “fitting one’s own, research or the research of others, into larger intellectual patterns” (p. 19). It is just this kind of interdisciplinary approach that allows for truly groundbreaking progress.

Discuss the ways that you have engaged in scholarly integration or synthesis since the time of your last Faculty peer review.

### **c. Scholarship of Application**

“The third element of scholarship, *application* of knowledge, moves toward engagement as the scholar asks, ‘How can knowledge be responsibly applied to consequential problems? How can it be helpful to individuals as well as institutions?’ (Boyer).

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<sup>35</sup> *Ibid.*, 17.

<sup>36</sup> Mooney, R. (1957). The researcher himself. In *Research for curriculum improvement, Association for Supervision and Curriculum Development, 1957 yearbook* (pp. 154-186). Washington, DC: Association for Supervision and Curriculum Development, p. 155.



Boyer conceptualizes this area of scholarship as a response by the academy to “the needs of the larger world”<sup>37</sup>. He is careful to differentiate this from the broader notion of Faculty ‘service’ responsibilities, however, noting that scholarship of application “must be directly tied to one’s special field of knowledge and relate to, and flow directly out of, this professional activity. Such service is serious, demanding work, requiring the rigor — and the accountability — traditionally associated with research activities”.

Discuss the ways in which you have used your disciplinary knowledge in the service of the broader society since the time of your last Faculty peer review.

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<sup>37</sup> *Op. cit.*, pp. 21-22.

### Peer Review Criteria for Scholarship

	Does not meet	Meets	Exceeds
<b>a. Discovery</b>  Build new knowledge through traditional and innovative research	No journal publication  No original research for an audience  No conference presentation	Any publication in a journal  Any publication in a book  Any presentation at a conference  Engaging in original research  Publishing as one of multiple authors in a peer-reviewed publication  Presenting as one of multiple authors at a national or international conference. (face to face or virtual)  Presenting as sole author at a local/state conference (face to face or virtual)  Authoring a book chapter	Publication of original research in a journal as a sole or first author  Presenting individually at a national or international conference (face to face or virtual)  Publication of a solely authored book chapter  Designs innovative programs, delivery systems, or assessment structures  Publication of original research in a top-tier peer-reviewed journal as a sole or first author  Invited address to a national or international professional conference  Authoring a book based on original research
<b>b. Integration</b>  Interpret knowledge across disciplines	No work on books  No work on conferences  No journal work	Serving as a peer reviewer for journal submissions  Serving as a peer reviewer for book manuscripts  Serving as a reviewer for conference proposals  Work product demonstrating integration of knowledge  Serving as the section editor for an anthology  Serving on the editorial board of a journal  Serving as a course leader or a block leader  Revision/redesign of course(s)	Editing an anthology  Organizing for a state or regional conference  Report writing for state and national accrediting agencies  Serving as an associate editor for a journal  Writing/designing of courses  Leading program design/redesign and content and standard integration  Authoring a textbook  Organizing for a national or international professional conference  Serving as the editor of a journal  Writing/designing of programs  Advocating for policy and program changes in University wide policy committees.

<b>c. Application</b>  Aid society and professions in addressing problems	No connection to outside work in one's discipline  No link to professional organizations	Mentorship to students and former students working with disciplinary knowledge  Membership in a professional organization connected to one's discipline  Contribution to society based on one's scholarly expertise  Working in partnership with an organization in the community using one's disciplinary knowledge  Committee work in a professional organization  Policymaking or standards development at the district level  Attending state licensure meetings	Consultation work with an organization using one's disciplinary knowledge  Serving on the executive committee of a professional organization  Representing profession at national convention  Policymaking or standards development at the state level  Appointment to a government task force based on one's disciplinary expertise  Elected office in a professional organization  Policymaking or standards development at the national level  Developing systems and structures to implement licensure rules and regulations
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### **Service as Servant Leadership (Weighted 10%)**

Effective Faculty members work collaboratively and collegially with others to develop strong learning communities that support and strengthen the profession, the University, colleges, departments, and the wider communities served. Service as part of servant leadership in the Concordia University Chicago conceptual framework is defined as contributions to the welfare of others and has three dimensions: (a) service to the profession, (b) service to the University, and (c) service to the church and community.

The key traits of a servant leader according to Greenleaf (1970) are listening, empathy, healing, awareness, persuasion, conceptualization, foresight, stewardship, commitment to the growth of people, and building community. In this section of your written documentation, limited to about two (2) pages, focus on your service to

the profession,

the University, and

the Church and community

#### **a. Service to the Profession**

*Providing significant service to one's discipline, field of study, or a professional organization.*

Present and describe examples of activities or representations that have served your profession. Discuss your level of involvement in any of the following activities, including but not limited to, mentoring colleagues, serving as an officer or member of an organization within one's discipline, serving on a committee or work team, presenting a workshop at a conference, presenting a paper in one's field, planning a major conference in one's field, leading professional development activities in one's field,

political activism on behalf of one's profession, serving as a consultant to schools or professional associations, serving on a review or accreditation team.

**b. Service to the University**

*Providing significant service to aspects of the University life, campus, community, and larger context.*

Present and describe examples of activities or representations that you have had in service to the University. Discuss your level of involvement in any of the following activities, including but not limited to leadership roles in the university, college, department; active committee membership and committee work; program coordination, fund raising; mentoring, advising, or recruiting students; mentoring and advising Faculty or staff; participation in campus and/or University-wide governance bodies and related activities; contributions to department, college, and/or University programs to enhance equal opportunity and cultural diversity.

**c. Service to the Church and Community**

*Providing significant service to the community, church, religious organizations, or other related activities.*

Present and describe examples of activities or representations that you have had in service to your church and community. Discuss your level of involvement in any of the following activities, including but are not limited to community development, local government support, working with at risk populations, recreation and sports activities, arts and music (choirs or musical groups), work with children and children's organizations (youth groups), involvement and support for local schools (private and public), honor societies, health and safety organizations, leadership in Bible studies, Sunday school, vacation Bible school, committee work for churches and religious organizations, lector, communion assistant, service to business and industry, service to public and private organizations, participation in community affairs, and service to governmental agencies at the international, federal, state, or local levels.

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### Peer Review Criteria for Service

	Does Not Meet	Meets		Exceeds
<b>To the Profession</b> Providing significant service to one's discipline, field of study, a professional organization.	No evidence documented to demonstrate service to the profession	One or two examples demonstrating any of the following service activities: mentoring of colleagues, serving on a committee/work team, presenting a workshop at a conference, presenting a paper, planning a major conference in one's field, leading professional development activities, serving as a consultant to schools, churches or professional associations, serving on a review or accreditation team, or other professional service as documented	Three or more examples demonstrating any of the following service activities: mentoring of colleagues, serving on a committee/work team, presenting a workshop at a conference, presenting a paper, planning a major conference in one's field, leading professional development activities, serving as a consultant to schools, schools churches or professional associations, serving on a review or accreditation team, or other professional service as documented	
<b>b. To the University</b> Providing significant service to aspects of the University life, campus, community, and larger context.	No evidence documented to demonstrate service to the University life, campus, community, and larger context	One or two examples demonstrating any of the following service activities: leadership roles, active committee membership and committee work, program coordinator, fund raising, mentoring, advising, recruiting students, mentoring and advising Faculty/staff, participation in campus and/or University-wide governance bodies and related activities, contributions to the department, college and/or University's programs to enhance equal opportunity and cultural diversity or other service as documented	One or two examples demonstrating any of the following service activities: community development, local government support, working with at risk populations, recreation and sports activities, arts and music (choirs or musical groups) activities, work with children and children's organizations (youth groups), involvement and support for local schools (private and public), honor societies, health and safety organizations, leadership in Bible studies, Sunday schools, VBS, committee work for churches and religious organizations, lector, communion assistant, service to business and industry, service to public and private organizations, participation in community affairs, service to public and private organizations, participation in	Three or more examples demonstrating any of the following service activities: community development, local government support, working with at risk populations, recreation and sports activities, arts and music (choirs or musical groups) activities, work with children and children's organizations (youth groups), involvement and support for local schools (private and public), honor societies, health and safety organizations, leadership in Bible studies, Sunday schools, VBS, committee work for churches and religious organizations, lector, communion assistant, service to business and industry, service to public and private organizations, participation in community affairs, service to public and private organizations, participation in community affairs, and service to governmental agencies at the international, federal, state, or local levels, or any other service related activities as documented

			community affairs, and service to governmental agencies at the international, federal, state, or local levels, or any other service related activities as documented	
<b>c. To the Church and Community</b> Providing significant service to the larger community, churches, religious organizations, or other related activities.	No evidence documented to demonstrate service to the church and community			

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## **Criteria Considered for Reappointment, Advancement in Rank, and Tenure**

Reappointment, advancement in rank, and granting of tenure are based on merit, rather than being automatic or routine.

### **A. Reappointment**

Faculty members must meet the following criteria in order to be considered for reappointment:

Provide the required documentation for reappointment as defined under section VI in this document.

Achieve a rating of “Meets” in all subareas of the reflective guidelines in Teaching, Scholarship, and Service.

Meet with the Peer Review Committee for an interview.

Meet with the Dean of the College for an interview.

### **B. Advancement in Rank**

#### **1. Instructor to Assistant Professor**

Faculty members must meet the following criteria in order to be considered for advancement from Instructor to Assistant Professor:

Provide the required documentation for advancement as defined under section VI of this document.

Achieve a rating of “Meets” in all subareas of the reflective guidelines in Teaching, Scholarship, and Service.

Hold a Master’s degree.

Demonstrate advanced academic work towards a doctorate.

Possess a minimum of two (2) years of experience in higher education.

Meet with the Peer Review Committee for an interview.

Meet with the Dean of the College for an interview.

#### **2. Assistant Professor to Associate Professor**

Faculty members must meet the following criteria in order to be considered for advancement from Assistant Professor to Associate Professor:

Provide the required documentation for advancement as defined under section VI of this document.

Achieve a minimum rating of “Exceeds” in one subarea of the reflective guidelines in each of Teaching, Scholarship, and Service while maintaining a rating of “Meets” in all other subareas.

Possess at least four (4) years of experience at the rank of assistant professor in higher education.

Hold an earned doctorate.

Meet with the Peer Review Committee for an interview.

Meet with the Dean of the College for an interview.

### **3. Associate Professor to Professor**

Faculty members must meet the following criteria in order to be considered for advancement from Associate Professor to Professor:

Provide the required documentation for advancement as defined under section VI of this document.

Achieve a minimum rating of “Exceeds” in one subarea of the reflective guidelines in each of Teaching, Scholarship, and Service with an additional “Exceeds” in any of the other subareas while maintaining a rating of “Meets” in all other subareas.

Demonstrate significant achievement in and exemplary commitment to teaching, scholarship, and service.

Possess at least six (6) years of experience at the rank of associate professor in higher education.

Hold an earned doctorate.

Meet with the Peer Review Committee for an interview.

Meet with the Dean of the College for an interview.

Serve as exemplars to their colleagues in the areas of teaching, scholarship and service.

### **C. Tenure**

Faculty members must meet the following criteria in order to be considered for tenure:

Provide the required documentation for tenure as defined under section VI of this document and of section 3 in the CUC *Faculty Handbook*.

Achieve a minimum rating of “Exceeds” in six subareas of the reflective guidelines in Teaching (two or more subareas), Scholarship (two or more subareas), and Service (two or more subareas) while maintaining a rating of “Meets” in all other subareas.

The Faculty member shall have completed 4-6 years of creditable service as a member of the Faculty at one or more educational institutions of the Lutheran Church – Missouri Synod; of which the last two years must have been in the institution currently serving. The Faculty member must be at the rank of assistant professor or higher rank in higher education. Periods of leave are not to be included in the calculation of service. (Compliance with 2012 edition of the LCMS Handbook: 3.10.5.6.2)

Hold an earned doctorate.

Meet with the Peer Review Committee for an interview.

Meet with the Dean of the College for an interview.



Serve as exemplars to their colleagues in the areas of teaching, scholarship, collegial dispositions, and service.

These guidelines are aligned to the policies set forth in the Concordia University Chicago *Faculty Handbook*.<sup>38</sup>

For those desiring to pursue references in more detail, [click here](#).

### **3.4.5.9 COLLEGE OF GRADUATE AND INNOVATIVE PROGRAMS REAPPOINTMENT, ADVANCEMENT IN RANK AND TENURE**

#### **I. Introduction**

The quality of education provided by Concordia University Chicago (CUC) is sustained through the dedicated and creative work of each Faculty member. Objective, systematic, and thorough appraisal of each candidate for initial and continued appointment, advancement in academic rank, and/or the granting of tenure is vital to the fulfillment of the University's mission. The purpose of these guidelines is to provide common criteria and procedures for reappointment, advancement in rank, and tenure for all Faculty members in the College of Graduate and Innovative Programs (GIP).

Reappointments, advancements in rank, and the granting of tenure are based on merit. They are awarded to recognize the level of a Faculty member's accomplishments and contributions to the mission of the University in teaching, scholarship, and service.

The role of the Peer Review Committee, Department Chairs, Dean, and the Senior Vice President for Academics is advisory. Each of these levels is responsible for recommending Faculty for reappointment, advancement in rank, and tenure. Final awarding decisions rest with the President of the University and Board of Regents. College-level reviewers base their recommendations on an evaluation of carefully prepared candidate documents as well as the individual and unique accomplishments and contributions of each Faculty member.

Faculty members who are eligible for reappointment, advancement in rank, and/or tenure will be expected to demonstrate accomplishments and contributions in the required areas described in sections VI and VII of this document. Documentation will be expected to address the University's mission and GIP's conceptual framework. All documentation will be submitted to the Peer Review Committee through the Dean.

#### **II. Guiding Principles**

University Mission

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<sup>38</sup> The entire document produced by the College of Graduate and Innovative Programs, including the Bibliography of References consulted, and be obtained by [clicking here](#).

As a distinctive, comprehensive university of The Lutheran Church—Missouri Synod, centered in the Gospel of Jesus Christ and based in the liberal arts, Concordia University equips men and women to serve and lead with integrity, creativity, competence, and compassion in a diverse, interconnected, and increasingly urbanized church and world.

#### **D. Conceptual Framework**

**Integrity** is derived from Christian values and moral ethics and finds expression in respect for diversity and in professional ethics. Concordia Faculty

- respect and support diversity in educational settings as related to learning styles, family structures, religion, beliefs, disabilities, gender, race, ethnicities, values, and socioeconomic status; and
- demonstrate appropriate standards of conduct and ethical behavior congruent with the standards of their profession.

**Competence** is demonstrated in the areas of knowledge, skills, creativity, and dispositions. Concordia Faculty

- meet the standards of their profession;
- have a commitment to continuous professional development;
- impact each learner's growth and development in a positive way;
- use a variety of assessment techniques appropriately; and
- engage in reflective practice.

**Servant leadership** is the ability to focus an organization's mission, personnel, and resources to meet identified needs. Concordia Faculty are servant leaders who

- develop an inclusive vision for students' growth and development;
- create a culture and programs that focus resources to support each student's learning and development; and
- build collaborative relationships that aid and support each student's learning and development.

#### **IV. Faculty Responsibilities**

Each candidate is expected to demonstrate integrity, competence, and servant leadership as defined in the conceptual framework as

- a *teacher*,
- a *scholar*, and
- a *member* of the University community.

### **A. Teaching**

The effective teaching of students is central to the mission of CUC. Faculty members have significant instructional responsibilities. Boyer (1990) states that teaching, “involves developing the knowledge, skill, mind, character, or ability of others. It means not only transmitting knowledge, but transforming and extending it as well. Teaching stimulates active, not passive, learning and encourages students to be critical, creative thinkers, with the capacity to go on learning . . . it is a dynamic endeavor involving all the analogies, metaphors, and images that build bridges between the teacher’s understanding and the student’s learning. Pedagogical procedures must be carefully planned, continuously examined and relate directly to the subject taught” (pp. 23-24).

The three broad dimensions of teaching effectiveness are

- Faculty knowledge,
- Faculty practice, and
- Faculty growth & sharing.

### **B. Scholarship**

As defined by Boyer (1990), “scholarship” within the professoriate is based on four functions which makeup the Profile of a Quality Faculty Member. He recommends that this model be based upon life patterns of individuals and their passions through “creativity contracts” that will emphasize quality teaching and allow for individualization. The four functions include (a) discovery (building new knowledge through traditional research), (b) integration (interpret knowledge across disciplines), (c) application (aid society and professions in addressing problems), and (d) teaching (study teaching models to achieve optimal learning).

The four areas of scholarship include:

- Discovery
- Integration
- Application
- Teaching

### **E. Service**

Service is defined as the contribution to the welfare of others and has three dimensions:

- Service to the Profession
- Service to the University (inside and outside the College of Graduate and Innovative Programs)
- Service to the Church and Community

The Peer Review committee will consider these three areas of responsibility (teaching, scholarship and service) as parts of a whole. While somewhat subjective, it is expected that the committee will keep these distributions in mind:

- For Assistant Professors – 80% teaching, 10% scholarship, 10% service

- To advance to Associate Professor – 70% teaching, 20% scholarship, 10% service
- For renewal at the Associate Professor level – 60% teaching, 30% scholarship, 10% service
- To be considered for tenure – 50% teaching, 30% scholarship, 20% service
- To advance to full Professor – 50% teaching, 30% scholarship, 20% service

For those Faculty carrying reduced loads for program leader, doctoral Faculty or other administrative duties the Peer Review Committee will consider those duties and their impact on the Faculty member's ability to show evidence of teaching performance. The performance on those administrative duties is not an area assessed by the Peer Review Committee.

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## The Peer Review Process and Timeline

### Timeline for Submission of Applicant Documentation to Department Chairs and then to Deans

By June 1	The Dean will notify the Faculty member and the Department Chair of eligibility for reappointment. The Faculty member will prepare the documentation required for reappointment, advancement in rank, and/or tenure.
By July 1	The Peer Review Committee will meet to elect a chair. Task assignments will be distributed within the committee.
By Aug. 1	Faculty peer review documentation will be submitted to the Dean.
By Aug. 15	The Peer Review Committee will review the submitted documentation and schedule to meet with the Faculty member.
By Sept. 1	The Peer Review Committee will have met with the Faculty member and completed its recommendations relative to reappointment. Recommendations will be forwarded to the Dean. (Note: The Peer Review Committee may choose to combine the process of reappointment and advancement in rank and complete all of the reviews in the Fall.)
By Sept. 15	The Dean will submit his/her recommendations and the recommendations of the Peer Review Committee to the Senior Vice-President for Academics.
By Oct. 1	The Faculty member will meet with the Dean to discuss the final recommendations.

Copies of all college-level recommendations will be provided to the Faculty member.

By Oct. 15

The Peer Review Committee will complete and forward to the Dean, recommendations relative to advancement in rank and tenure. (Note: The Peer Review Committee may choose to combine both processes and complete all of the reviews in the Fall.)

By Nov. 1

The Dean will meet with the Faculty member to discuss advancement in rank and tenure recommendations. Recommendations for advancement in rank/tenure will be forwarded to the Senior Vice-President for Academics.

#### Anonymity and Confidentiality Disclosures

The Peer Review Committee is bound to protect the confidentiality of submitted documentation and the anonymity of committee member deliberations and recommendations submitted to the Dean and Senior Vice-President's Office. Subsequent confidentiality and privacy of applicant information and documentation submitted to the Board of Regents is not guaranteed.

#### Confidential Letters; WAIVER OF RIGHT OF ACCESS BY CANDIDATE

Confidential Letters are requested for the benefit of the University and the Candidate, in order to obtain candid assessments of the strengths and weaknesses of the Candidate. Where letters are designated as "confidential" as part of this process, such letters will be made available only to the Department Chair, the Dean, the Senior Vice President for Academics, the President and the Board of Regents for the sole purpose of evaluating the Candidate's application for reappointment, advancement in rank and/or tenure. All such persons are obligated to keep such letters strictly confidential. BY SUBMITTING AN APPLICATION, THE CANDIDATE UNDERSTANDS THESE CONFIDENTIALITY PROVISIONS RELATING TO THE LETTERS, AND VOLUNTARILY AND EXPRESSLY WAIVES ANY AND ALL RIGHTS THAT THE CANDIDATE MAY HAVE TO ACCESS SAME UNDER ALL APPLICABLE LAWS, REGULATIONS, AND POLICIES. The Candidate understands that the rights being waived include, but are not limited to, the right to inspect and review a letter, the right to have a copy of the letter made for personal use, the right to request an amendment or correction to the letter, and the right to provide supplementary or rebuttal information relating to the letter's contents.

#### Documentation

The documentation required for reappointment, advancement in rank, and tenure includes *a philosophy statement, current curriculum vitae, and a narrative analysis/reflection for each area* listed below as aligned to the University mission and in relationship to the GIP conceptual framework. The Peer Review Committee will give priority to analyses/reflections submitted for reappointment which address the time period since the issuance of a Faculty member's last contract. For advancement in rank the analyses/reflections should address the required years of experience. The Peer Review Committee may request an opportunity to review a Faculty member's student course evaluations during the review process. All requests must be submitted to the Dean for prior approval. Faculty members may elect to supply these course evaluations to the committee. If the committee does review student course evaluations, the Faculty member must be notified and given an opportunity to respond and/or give additional information to give context for those evaluations. *The peer review committee has the right to request additional relevant and appropriate documentation, if necessary.*

### Philosophy Statement

Create a philosophy statement that exhibits organization and coherence, reflecting one or more philosophic systems and/or theories of education.

### Curriculum Vitae

Provide a current and comprehensive vita.

### C. Reflection Prompts and Guidelines for Analyses/Reflection

The guidelines include the kinds of accomplishments that the committee will find pertinent for consideration for advancement, reappointment and tenure. However these guidelines are not an exhaustive measure of accomplishments and merit.

Documentation should adhere to the *Publication Manual of the American Psychological Association* (2010) when appropriate with regard to format and citations. Please note that artifacts are not to be submitted with documentation, but may be requested.

### Teaching

Boyer's work on the scholarship of teaching (1990) and the literature on teaching in higher education suggest that teaching is best assessed through a review along multiple dimensions. Theall and Centra (2001), for example, argue that there are three important features or components of the scholarship of teaching that can be assessed: (a) discipline and pedagogical knowledge (teacher knowledge), (b) learning outcomes and teaching practices (teaching practice), and (c) a shared public account of teaching (for growth and sharing). An integration of Boyer's views with those of other relevant scholars suggests that Faculty members are accountable in three areas which include

Faculty knowledge,

Faculty practice, and

Faculty growth & sharing.

Limit this section of your written documentation to about two (2) pages for each of the three areas for a total of six (6) pages.

### a. Faculty Knowledge

“As a scholarly enterprise, teaching begins with what the teacher knows. Those who teach must, above all, be well informed, and steeped in the knowledge of their fields” (Boyer, 1990, p. 23).

Boyer (1990) states that teaching, when considered as a scholarly enterprise, “begins with what the teacher knows” (p. 23). Literature on what an effective teacher knows is broad and there are many ways this knowledge can be categorized. Borrowing from Shulman (1987), three key types of knowledge appear to be content knowledge, general pedagogical knowledge, and pedagogical content knowledge. Historically, there has been an emphasis on the content knowledge of teachers (Shulman, 1986) which is knowledge of specific subject matter such as chemistry or economics. More recently, some have emphasized the general pedagogical knowledge of teachers (Ball & McDiarmid, 1990) which is knowledge of general principles and strategies of teaching that seem to transcend subject matter. Shulman (1987) argues that the blending of content and pedagogy, leads to uniquely effective teaching/learning activities and representations, that are subject-area specific. He calls this pedagogical content knowledge.

In summary, three types of knowledge that effective Faculty possess are

content knowledge (knowledge of the subject being taught);

general pedagogical knowledge (knowledge of general principles and strategies of teaching and learning);  
and

pedagogical content knowledge (knowledge of how to teach specific subject matter content in a particularly effective manner).

Discuss your level of expertise in each of the above areas. Present and describe examples of activities or representations that you use that are particularly effective for promoting learning of the subject matter that you teach. Limit this section of your documentation to about two (2) pages.

### b. Faculty Practice

“The work of the professor becomes consequential only as it is understood by others. . . . Teaching both educates and entices future scholars . . . pedagogical procedures must be carefully planned, continuously examined, and related directly to the subject taught” (Boyer, 1990).

The purpose of developing a knowledge base for teaching is the eventual application of this knowledge to actual teaching and learning. There are many important dimensions of effective teaching in the classroom and online. Some that are frequently mentioned in the literature on teaching in the higher education environment include the following (Cashin, 1988; Hativa, Barak, & Simhi, 2001; Kreber, 2006; Ory & Ryan, 2001; Witcher, Onwuegbuzie, Collins, Filer, Wiedermaier, & Mooere, 2003; Young & Shaw, 1999):

instructor demeanor (enthusiastic, caring, professional, accessible);

student engagement and motivation (stimulates student interest);

preparation/organization (relevant materials, varied and well sequenced use of learning activities like discussions and lectures, course well organized);

communication (communicates clearly);



classroom management and classroom climate (maintains a positive environment, encourages and addresses student questions well, learner-centered); and

student assessment (fair and appropriate measures, timely feedback).

Discuss your current practice as a teacher (in the classroom and/or online) as you consider each of the dimensions listed above. For example, what types of activities are incorporated in your classes? How do you engage students face-to-face and/or online? How do you specifically address the needs of the adult learner? What do you do to challenge and motivate students? What do you do to support students who are not doing well? Describe any evidence that you believe points to the effectiveness of your teaching practice. This section of your written documentation should be limited to about two (2) pages.

### c. Faculty Growth & Sharing

“Further, good teaching means that Faculty, as scholars, are also learners...” (Boyer, 1990, p. 24).

Boyer (1990) states that “good teaching means that Faculty, as scholars, are also learners,” that is, they continue to learn how to teach more effectively. Examples provided by Boyer to illustrate continuous learning include activities “through reading, through classroom discussion, and surely through comments and questions posed by students” (p. 24). Building on Boyer’s work, Kreber and Cranton (2000), Felder (2000), and others argue that the scholarship of teaching should include the public sharing of lessons learned about teaching and learning to help influence teaching as broadly practiced in the field.

Trigwell, Martin, Benjamin, and Prosser (2000) empirically identify specific categories of activities for the scholarship of teaching, that capture this ongoing learning and sharing. Building on their categories, the following activities are considered important for Faculty growth and sharing:

reading the literature on teaching and learning;

improving one’s teaching by applying the literature on teaching and learning;

improving one’s teaching by investigating one’s own teaching practice; and

improving teaching and learning within the discipline generally by sharing one’s own work publicly.

Discuss your growth and sharing activities as you consider the above categories. For example, how do you evaluate your own teaching? How has experience informed your practice? How have you shared what you have learned about teaching with others? Present and describe any examples that serve as evidence of your activities for personal growth and teaching scholarship. This section of your written documentation should be limited to about two (2) pages.

***[Remainder of page intentionally left blank]***

## Peer Review Criteria for Teaching

### a. Faculty Knowledge

	Does not meet	Meets	Exceeds
Content Knowledge (knowledge of the subject being taught)	Does not demonstrate mastery of content knowledge through either practice or academic accomplishment	Holds a terminal degree in the field (or relevant closely related field)	Actively involved in the profession as (a) a current practitioner or (b) researcher pursuing new knowledge
General Pedagogical Knowledge (knowledge of general principles and strategies of teaching and learning)	Little or no evidence demonstrating a strong understanding of general pedagogical principles and strategies	Understands, practices, and can describe the use of general teaching/learning strategies (i.e., lectures, discussions, small group activities, problem solving, etc.). Can explain when use of each type of strategy is most appropriate	<ul style="list-style-type: none"> <li>• Understands and can explain various theoretical models of teaching and learning</li> <li>• Can explain from a theoretical perspective, the strengths and weaknesses of various general teaching strategies (that is, explain why various strategies work well or don't work well)</li> </ul>
Pedagogical Content Knowledge (knowledge of how to teach specific subject matter content in a particularly effective manner)	Little or no evidence demonstrating a strong understanding of discipline-specific activities or representations for teaching specific subject matter content	Understands, practices, and can describe discipline specific activities or representations that are especially helpful for teaching/learning in the field	<ul style="list-style-type: none"> <li>• Understands and can explain various theoretical models of how knowledge in the field is acquired and refined in the learner</li> <li>• Can explain why specific strategies are particularly effective for teaching/learning content in the field</li> </ul>

b. Faculty Practice

	Does not meet	Meets	Exceeds
Instructor demeanor (enthusiastic, caring, professional, accessible)	Little or no evidence of consistently projecting positive affective characteristics	Recognizes importance of and projects important affective characteristics (i.e. enthusiasm, professionalism, compassion, etc.)	Is recognized by students and/or other Faculty as being especially good at projecting enthusiasm, professionalism, compassion, etc.
Student engagement and motivation (stimulates student interest)	Little or no evidence of the use of a variety of effective approaches to motivate students and stimulate interest in subject matter	Uses a variety of effective approaches to motivate students and stimulate interest in subject matter	Has created and/or introduced novel activities to demonstrably stimulate student interest in subject matter
Preparation / Organization (relevant materials, varied and well sequenced use of learning activities like discussions and lectures, course well organized)	Little or no evidence of preparing and using varied and conceptually sound sequence of classroom activities for learning content	<ul style="list-style-type: none"> <li>• Class activities are well organized and highly relevant</li> <li>• Class activities are varied and appropriately sequenced to promote learning</li> <li>• Physical and electronic materials prepared for class are relevant and look professional</li> </ul>	<ul style="list-style-type: none"> <li>• Materials prepared for classes are highly regarded and used by others in the department</li> <li>• Is recognized by students and/or other Faculty for creating extremely well organized and sequenced activities</li> </ul>
Communication (communicates clearly)	Little or no evidence of using appropriate methods for communicating in face-to-face, online, and/or hybrid courses	<ul style="list-style-type: none"> <li>• Verbal communication is clear and effective</li> <li>• Written communication is clear and concise</li> <li>• Uses appropriate methods for communicating in face-to-face, online, and/or hybrid courses</li> </ul>	<ul style="list-style-type: none"> <li>• Develops and uses innovative methods to enhance communication with students</li> <li>• Is recognized by students and/or other Faculty for being a highly effective communicator</li> </ul>

Classroom management and classroom climate (maintains a positive environment, encourages and addresses student questions well, learner-centered)	Little or no evidence of effective classroom management and positive classroom climate	<ul style="list-style-type: none"> <li>• Maintains a positive and professional classroom environment.</li> <li>• Leads class effectively through prepared activities</li> <li>• Encourages questions from students and address them effectively.</li> <li>• Creates a learner-centered atmosphere</li> </ul>	<ul style="list-style-type: none"> <li>• Is recognized by students and/or other Faculty for creating a very positive learning environment</li> <li>• Is recognized by students and/or other Faculty for being especially effective at managing the class and leading class activities</li> </ul>
Student assessment (fair and appropriate measures, timely feedback)	<ul style="list-style-type: none"> <li>• Does not use department/course approved assessment methods</li> <li>• Does not provide regular and timely feedback to students</li> </ul>	<ul style="list-style-type: none"> <li>• Uses appropriate department/course assessment methods during teaching to assess student learning</li> <li>• Grading of assignments is fair and consistent</li> <li>• Provides regular and timely feedback to students on assignments</li> </ul>	<p>One or more examples of the following:</p> <ul style="list-style-type: none"> <li>• Develops and uses additional formative assessment methods/instruments to inform teaching</li> <li>• Develops and uses additional summative assessment methods/instruments to assess teaching effectiveness</li> </ul>

*[Remainder of page intentionally left blank]*

### c. Faculty Growth and Sharing

	Does not meet	Meets	Exceeds
Reading the literature on teaching and learning	No evidence of reading the literature on teaching and learning	Reads articles about teaching and learning from general publications	<ul style="list-style-type: none"> <li>• Reads articles about teaching and learning from peer-reviewed journals</li> <li>• Participates in the peer review of teaching/learning articles for conferences and publications</li> </ul>
Applying literature to one's teaching	No evidence of applying the literature to one's teaching	<ul style="list-style-type: none"> <li>• Reflects on teaching theory to enhance teaching</li> <li>• Develops and uses new instructional strategies based on the literature, in one's teaching</li> </ul>	<ul style="list-style-type: none"> <li>• Develops new instructional units for courses based on application of ideas and theory from the literature</li> <li>• Revises courses based on application of ideas and theory from the literature</li> </ul>
Investigating one's own teaching	No evidence of reflection on one's own teaching practice	<ul style="list-style-type: none"> <li>• Reflects on teaching experience to enhance teaching</li> <li>• Solicits student feedback on teaching</li> <li>• Develops and deploys new instructional strategies (based on informed pedagogical decisions) within one's own classes</li> </ul>	<ul style="list-style-type: none"> <li>• Conducts formal research on classroom materials and teaching techniques</li> <li>• Develops and deploys new instructional strategies (based on informed pedagogical decisions) for department-wide use</li> </ul>
Sharing work publically	No evidence of publishing or sharing knowledge regarding teaching with colleagues	<ul style="list-style-type: none"> <li>• Communicates learned knowledge about teaching/learning with colleagues</li> <li>• Makes public learned knowledge</li> <li>• Open to critique within local community</li> </ul>	<ul style="list-style-type: none"> <li>• Publishes/presents nationally and internationally on teaching or learning</li> <li>• Open to public critique</li> </ul>

## Scholarship

According to Boyer (1990), scholarship in the academic community among Faculty members should demonstrate engagement in four types of inquiry: (a) discovery, (b) integration, (c) application, and (d) teaching. The potential for contributions to knowledge in each of these areas is substantial and it is hoped that all Faculty at Concordia University Chicago will be involved in such endeavors. The scholarship of teaching is addressed in the writing prompts on Teaching (section VI.C.1). In this section of your written documentation, limited to about two (2) pages, focus on the

scholarship of discovery;

scholarship of integration; and

scholarship of application.

### a. Scholarship of Discovery

“No tenets in the academy are held in higher regard than the commitment to knowledge for its own sake, to freedom of inquiry and to following, in a disciplined fashion, an investigation wherever it may lead” (Boyer, 1990, p. 17).

Boyer (1990) celebrates pure inquiry both for its broad contribution to human understanding of the world and for its effect on the academic institution itself, noting how the breathless pursuit of knowledge can be exhilarating and contagious. Mooney (1957) goes deeper by acknowledging the potential in research for self-realization: “It can be taken as a way of meeting life with the maximum of stops open to get out of experience its most poignant significance, its most full-throated song” (p. 155).

Discuss the ways that you have engaged in scholarly investigation, since the time of your last peer review.

### b. Scholarship of Integration

“By integration, we mean making connections across the disciplines, placing specialties in larger context, illuminating data in a revealing way, often educating non-specialists, too”<sup>39</sup> (Boyer, 1990, p. 18).

Boyer emphasizes the importance of this area of scholarship for providing perspective, “fitting one’s own research, or the research of others, into larger intellectual patterns” (p. 19). It is just this kind of interdisciplinary approach that allows for truly groundbreaking progress.

Discuss the ways that you have engaged in scholarly integration or synthesis since the time of your last Faculty peer review.

### c. Scholarship of Application

“The third element of scholarship, *application* of knowledge, moves toward engagement as the scholar asks, ‘How can knowledge be responsibly applied to consequential problems? How can it be helpful to individuals as well as institutions?’”

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<sup>39</sup> Boyer, *Scholarship Reconsidered*, 18.

Boyer conceptualizes this area of scholarship as a response by the academy to “the needs of the larger world”<sup>40</sup>. He is careful to differentiate this from the broader notion of Faculty ‘service’ responsibilities, however, noting that scholarship of application “must be directly tied to one’s special field of knowledge and relate to, and flow directly out of, this professional activity. Such service is serious, demanding work, requiring the rigor — and the accountability — traditionally associated with research activities”.

Discuss the ways in which you have used your disciplinary knowledge in the service of the broader society since the time of your last Faculty peer review.

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<sup>40</sup> Boyer, *Scholarship Reconsidered*, 21-22.

## Peer Review Criteria for Scholarship

	Does not meet	Meets	Exceeds
<p>a. Discovery</p> <p>Build new knowledge through traditional and innovative research</p>	<ul style="list-style-type: none"> <li>• No journal publication</li> <li>• No original research for an audience</li> <li>• No conference presentation</li> </ul>	<ul style="list-style-type: none"> <li>• Any publication in a journal</li> <li>• Any publication in a book</li> <li>• Any presentation at a conference</li> <li>• Engaging in original research</li> <li>• Publishing as one of multiple authors in a peer-reviewed publication</li> <li>• Presenting as one of multiple authors at a national or international conference.</li> <li>Presenting as sole author at a local/state conference</li> <li>Authoring a book chapter</li> </ul>	<ul style="list-style-type: none"> <li>• Publication of original research in a peer-reviewed journal as a sole or first author</li> <li>• Presenting individually at a national or international conference</li> <li>• Publication of a solely authored book chapter</li> <li>• Publication of original research in a top-tier peer-reviewed journal as a sole or first author</li> <li>Invited address to a national or international professional conference</li> <li>• Authoring a book based on original research</li> </ul>
<p>b. Integration</p> <p>Interpret knowledge across disciplines</p>	<ul style="list-style-type: none"> <li>• No work on books</li> <li>• No work on conferences</li> <li>• No journal work</li> </ul>	<ul style="list-style-type: none"> <li>• Serving as a peer reviewer for journal submissions</li> <li>• Serving as a peer reviewer for book manuscripts</li> <li>• Serving as a reviewer for conference proposals</li> <li>• Work product demonstrating integration of knowledge</li> <li>• Serving as the section editor for an anthology</li> </ul>	<ul style="list-style-type: none"> <li>• Editing an anthology</li> <li>• Organizing for a state or regional conference</li> <li>• Serving as an associate editor for a journal</li> <li>• Writing/designing of courses</li> <li>• Authoring a textbook</li> <li>• Organizing for a national or international professional conference</li> <li>• Serving as the editor of a journal</li> </ul>



		<ul style="list-style-type: none"> <li>• Serving on the editorial board of a journal</li> <li>• Serving as a course leader</li> </ul> Revision/redesign of course(s)	Writing/designing of programs
c. Application  Aid society and professions in addressing problems	<ul style="list-style-type: none"> <li>• No connection to outside work in one's discipline</li> <li>• No link to professional organizations</li> </ul>	<ul style="list-style-type: none"> <li>• Mentorship to students and former students working with disciplinary knowledge</li> <li>• Membership in a professional organization connected to one's discipline</li> <li>• Contribution to society based on one's scholarly expertise</li> <li>• Working in partnership with an organization in the community using one's disciplinary knowledge</li> <li>• Committee work in a professional organization</li> <li>• Policymaking or standards development at the district level</li> </ul>	<ul style="list-style-type: none"> <li>• Consultation work with a large organization using one's disciplinary knowledge</li> <li>• Serving on the executive committee of a professional organization</li> <li>• Policymaking or standards development at the state level</li> <li>• Appointment to a government task force based on one's disciplinary expertise</li> <li>• Elected office in a professional organization</li> <li>• Policymaking or standards development at the national level</li> </ul>

***[Remainder of page intentionally left blank]***

## Service as Servant Leadership

Effective Faculty members work collaboratively and collegially with others to develop strong learning communities that support and strengthen the profession, the University, colleges, departments, and the wider communities served. Service as part of servant leadership in the Concordia University Chicago conceptual framework is defined as contributions to the welfare of others and has three dimensions: (a) service to the profession, (b) service to the University, and (c) service to the church and community.

The key traits of a servant leader according to Greenleaf (1970) are listening, empathy, healing, awareness, persuasion, conceptualization, foresight, stewardship, commitment to the growth of people, and building community. In this section of your written documentation, limited to about two (2) pages, focus on your service to

the profession,

the University, and

the Church and community

### a. Service to the Profession

*Providing significant service to one's discipline, field of study, or a professional organization.*

Present and describe examples of activities or representations that have served your profession. Discuss your level of involvement in any of the following activities, including but not limited to, mentoring colleagues, serving as an officer or member of an organization within one's discipline, serving on a committee or work team, presenting a workshop at a conference, presenting a paper in one's field, planning a major conference in one's field, leading professional development activities in one's field, political activism on behalf of one's profession, serving as a consultant to schools or professional associations, serving on a review or accreditation team.

### b. Service to the University

*Providing significant service to aspects of the University life, campus, community, and larger context.*

Present and describe examples of activities or representations that you have had in service to the University. Discuss your level of involvement in any of the following activities, including but not limited to leadership roles in the University, college, department; active committee membership and committee work; program coordination, fund raising; mentoring, advising, or recruiting students; mentoring and advising Faculty or staff; participation in campus and/or University-wide governance bodies and related activities; contributions to department, college, and/or University programs to enhance equal opportunity and cultural diversity.

### c. Service to the Church and Community

*Providing significant service to the community, church, religious organizations, or other related activities.*

Present and describe examples of activities or representations that you have had in service to your church and community. Discuss your level of involvement in any of the following activities, including but are not limited to community development, local government support, working with at risk populations,

recreation and sports activities, arts and music (choirs or musical groups), work with children and children's organizations (youth groups), involvement and support for local schools (private and public), honor societies, health and safety organizations, leadership in Bible studies, Sunday school, vacation Bible school, committee work for churches and religious organizations, lector, communion assistant, service to business and industry, service to public and private organizations, participation in community affairs, and service to governmental agencies at the international, federal, state, or local levels.

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## Peer Review Criteria for Service

	Does Not Meet	Meets	Exceeds
<p>To the Profession</p> <p>Providing significant service to one's discipline, field of study, a professional organization.</p>	<p>No evidence documented to demonstrate service to the profession</p>	<p>One or two examples demonstrating any of the following service activities: mentoring of colleagues, serving on a committee/work team, presenting a workshop at a conference, presenting a paper, planning a major conference in one's field, leading professional development activities, political activism on behalf of the profession, serving as a consultant to schools or professional associations, serving on a review or accreditation team, or other professional service as documented</p>	<p>Three or more examples demonstrating any of the following service activities: mentoring of colleagues, serving on a committee/work team, presenting a paper, planning a major conference in one's field, leading professional development activities, political activism on behalf of the profession, serving as a consultant to schools or professional associations, serving on a review or accreditation team, or other professional service as documented</p>
<p>b. To the University</p> <p>Providing significant service to aspects of the University life, campus, community, and larger context.</p>	<p>No evidence documented to demonstrate service to the University life, campus, community, and larger context</p>	<p>One or two examples demonstrating any of the following service activities: leadership roles, active committee membership and committee work, program coordinator, fund raising, mentoring, advising, recruiting students, mentoring and advising Faculty/staff, participation in campus and/or University-wide governance bodies and related activities, contributions to the department, college and/or University's programs to enhance equal opportunity and</p>	<p>Three or more examples demonstrating any of the following service activities: leadership roles, active committee membership and committee work, program coordinator, fund raising leadership, mentoring, advising, recruiting students, mentoring and advising Faculty or staff, participation in campus and/or University-wide governance bodies and related activities, record of contributions to the department, college and/or University's programs to enhance equal opportunity and cultural diversity or other service as documented</p>

		cultural diversity or other service as documented	
<p>c. To the Church and Community</p> <p>Providing significant service to the larger community, churches, religious organizations, or other related activities.</p>	<p>No evidence documented to demonstrate service to the church and community</p>	<p>One or two examples demonstrating any of the following service activities: community development, local government support, working with at risk populations, recreation and sports activities, arts and music (choirs or musical groups) activities, work with children and children's organizations (youth groups), involvement and support for local schools (private and public), honor societies, health and safety organizations, leadership in Bible studies, Sunday schools, VBS, committee work for churches and religious organizations, lector, communion assistant, service to business and industry, service to public and private organizations, participation in community affairs, service to public and private organizations, participation in community affairs, and service to governmental agencies at the international, federal, state, or local levels, or any other service related activities as documented</p>	<p>Three or more examples demonstrating any of the following service activities: community development, local government support, working with at risk populations, recreation and sports activities, arts and music (choirs or musical groups) activities, work with children and children's organizations (youth groups), involvement and support for local schools (private and public), honor societies, health and safety organizations, leadership in Bible studies, Sunday schools, VBS, committee work for churches and religious organizations, lector, communion assistant, service to business and industry, service to public and private organizations, participation in community affairs, service to public and private organizations, participation in community affairs, and service to governmental agencies at the international, federal, state, or local levels, or any other service related activities as documented</p>

### Criteria Considered for Reappointment, Advancement in Rank, and Tenure

Reappointment, advancement in rank, and granting of tenure are based on merit, rather than being automatic or routine. In addition to the guidelines, as set forth by this document, the consideration is not

an exhaustive measure of accomplishment and merit. These guidelines are intended to be a guide, in part, for the Faculty member's process of compiling documentation. Guidelines include the kinds of accomplishments that the committee will find pertinent for consideration for reappointment, advancement and tenure.

#### A. Reappointment

Faculty members must meet the following criteria in order to be considered for reappointment:

Provide the required documentation for reappointment as defined under section VI in this document.

Achieve a rating of "Meets" in all subareas of the reflective guidelines in Teaching, Scholarship, and Service.

Meet with the Peer Review Committee for an interview.

Meet with the Dean of the College for an interview.

#### B. Advancement in Rank

##### 1. Instructor to Assistant Professor

Faculty members must meet the following criteria in order to be considered for advancement from Instructor to Assistant Professor:

Provide the required documentation for advancement as defined under section VI of this document.

Achieve a rating of "Meets" in all subareas of the reflective guidelines in Teaching, Scholarship, and Service.

Hold a Master's degree.

Demonstrate advanced academic work towards a doctorate.

Possess a minimum of two (2) years of experience in higher education.

Meet with the Peer Review Committee for an interview.

Meet with the Dean of the College for an interview.

##### 2. Assistant Professor to Associate Professor

Faculty members must meet the following criteria in order to be considered for advancement from Assistant Professor to Associate Professor:

Provide the required documentation for advancement as defined under section VI of this document.

Achieve a minimum rating of "Exceeds" in one subarea of the reflective guidelines in each of Teaching, Scholarship, and Service while maintaining a rating of "Meets" in all other subareas.

Possess at least four (4) years of fulltime experience at the rank of assistant professor in higher education.

Hold an earned doctorate.

Meet with the Peer Review Committee for an interview.

Meet with the Dean of the College for an interview.

### 3. Associate Professor to Professor

Faculty members must meet the following criteria in order to be considered for advancement from Associate Professor to Professor:

Provide the required documentation for advancement as defined under section VI of this document.

Achieve a minimum rating of “Exceeds” in one subarea of the reflective guidelines in each of Teaching, Scholarship, and Service with an additional “Exceeds” in any of the other subareas while maintaining a rating of “Meets” in all other subareas.

Demonstrate significant achievement in and exemplary commitment to teaching, scholarship, and service.

Possess at least six (6) years of fulltime experience at the rank of associate professor in higher education.

Hold an earned doctorate.

Meet with the Peer Review Committee for an interview.

Meet with the Dean of the College for an interview.

Serve as exemplars to their colleagues in the areas of teaching, scholarship and service.

### C. Tenure

Faculty members must meet the following criteria in order to be considered for tenure:

Provide the required documentation for tenure as defined under section VI of this document and of section 3 in the CUC *Faculty Handbook*.

Achieve a minimum rating of “Exceeds” in six subareas of the reflective guidelines in Teaching (two or more subareas), Scholarship (two or more subareas), and Service (two or more subareas) while maintaining a rating of “Meets” in all other subareas.

Possess at least six (6) years of fulltime experience at the rank of assistant professor or associate professor in higher education.

Hold an earned doctorate.

Meet with the Peer Review Committee for an interview.

Meet with the Dean of the College for an interview.

Serve as exemplars to their colleagues in the areas of teaching, scholarship and service.

For those Faculty who were granted tenure at another Concordia University System institution, they may apply for tenure at Concordia University Chicago after two (2) years of fulltime Faculty service at CUC.<sup>41</sup>

### **3.4.6 POST-TENURE REVIEW PROCESS**

The Post-Tenure Review Process has been replaced by Annual Review Process for all faculty implemented by all Colleges.

### **3.4.7 DISTINGUISHED PROFESSOR**

The Faculty has established the title “Distinguished Professor” to honor their colleagues. The following stipulations pertain:

a. Criteria for appointments:

1. Must have given at least 10 years of service to Concordia as a teacher (major share of service load acquired via teaching).
2. Must hold the rank of full professor.
3. Must be on the Faculty roster at the University at the time of the appointment.
4. Must demonstrate exemplary contributions to the University.

b. Procedures:

1. The Academic Cabinet or the Distinguished Awards Committee nominates the candidates.
2. The Senior Vice President for Academics shall conduct the election through the Faculty Elections Officer.
3. At least fifty percent (50%) of the eligible Faculty must vote to make the election valid.
4. Candidates are recommended by a ballot vote of members of the university Faculty. The prospective appointee must acquire 2/3 affirmative votes of those casting Ballots.
5. The Board of Regents approves candidates elected by the University Faculty.
6. The election results must remain confidential until the Board of Regents has approved the honor and the President has contacted the elected professor(s). Prior to the public announcement the Distinguished Awards Committee shall confer with the University Marshal to prepare the logistics for the Award presentation.

c. Conferral:

The University confers the title at the annual spring commencement or other occasion as determined by the President.

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<sup>41</sup> The entire document produced by the College of Graduate and Innovative Programs, including the Bibliography of References consulted, can be obtained by clicking [here](#).



- d. Maximum number:

Not more than 20% of full professors on the Faculty may hold the title “Distinguished Professor” at one time.

### **3.4.9 REMOVAL FROM OFFICE**

#### **3.4.9.1 GENERAL CONDITIONS FOR REMOVAL FROM OFFICE**

- a. **The Board of Regents may decline to renew the appointment of a Faculty member during an initial level appointment period without formal statement of cause. If reappointment to the teaching staff is not contemplated, the board of regents shall so notify the Faculty member in writing through the president of the institution at least six months prior to the expiration of the current appointment. Notice of non-reappointment shall be made at least six months before the expiration of an initial appointment of a Faculty member.**<sup>42</sup>.
- b. **No member of the Faculty on a continuing-level appointment or on an initial-level appointment, except at the expiration of the term of appointment, shall be removed from the Faculty either by ecclesiastical authority or by the Board of Regents except for cause.** (3.8.3.8.6.1)<sup>43</sup>

Other than honorable retirement, termination of Faculty employment may be the result of the following:

- (a). professional incompetency, including, but not limited to, the criteria identified in 3.8.3.8.2(d);
- (b). incapacity for the performance of duty;
- (c). insubordination;
- (d). neglect of or refusal to perform duties of office;
- (e). conduct unbecoming a Christian;
- (f). advocacy of false doctrine (Constitution, Art. II) or failure to honor and uphold the doctrinal position of the Synod as defined further in Bylaw 1.6.2 (b)<sup>44</sup>.
- (g). discontinuance of an entire program (e.g., social work, business);
- (h). discontinuance of an entire division or department (e.g., foreign language) of a college or university;
- (i). Reduction of the size of staff in order to maintain financial viability I compliance with policies concerning fiscal viability; and

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<sup>42</sup> This section is based on the *2010 LCMS Handbook*, Section 3.10.5.6.3 (c).

<sup>43</sup> This section is based on the *2010 LCMS Handbook*, Section 3.10.5.6.6.1.

<sup>44</sup> This section is based on the *2013 LCMS Handbook*, Section 3.10.5.6.4.

- (j) discontinuance, merger, or consolidation of an entire college or university operation.

### **3.4.9.2 PROCEDURES FOR ALLEGED PERFORMANCE DEFICIENCIES OR MISCONDUCT**

These procedures apply when a Faculty member is subjected to discipline or other corrective action for serious performance deficiencies or misconduct, including but not limited to departing from the responsibilities of Faculty membership set forth in the *Faculty Handbook*, other official policies and procedures of the University, or the Faculty member's Employment Agreement.

No sanction will be used to restrain Faculty members in their exercise of academic freedom when they are complying with the University's Academic Freedom Policy, as contained in Section [4.19](#) of this *Handbook*.

Any notices to the Faculty member required under these procedures shall be sent to the Faculty member's home address of record if the Faculty member has been placed on administrative leave, suspended, or terminated or dismissed. Absent such circumstances, required notices may be sent by other means, including hand delivery or electronic mail.

References to the Senior Vice President for Academics and the President in these procedures include any designee that the Senior Vice President for Academics or the President might designate to fulfill his or her role(s) as described below.

#### **3.4.9.2.1 CORRECTION SHORT OF DISMISSAL FOR CAUSE OR OTHER SERIOUS SANCTION**

If a Faculty member is notified of possible discipline other than dismissal for cause, suspension from service for a stated period with or without pay (unless the suspension is imposed pursuant to the "Administrative Leave or Suspension" provision below), revocation of tenure, or reduction in rank or pay, the following procedures apply.

1. Job performance or conduct that falls below the appropriate standard for a University Faculty member, but does not lead to a notice of dismissal or other serious sanction specified in the preceding sentence, may be addressed by the Chair, Dean, or Senior Vice President for Academics using progressive remediation and/or discipline that may include, but is not limited to, imposition of some or all of the following sanctions: reprimands; memoranda to the Senior Vice President for Academics' file; warnings; modified teaching, committee, or program assignments; remediation plans; professional development plans; denial of promotion; or non-reappointment.
2. Should a Faculty member wish to appeal any sanction(s) imposed as set forth in item 1 above, the Faculty member may submit a written appeal to the President that sets forth the specific grounds for appeal within 10 days of being notified of the sanction(s). The President will review the Faculty member's written appeal, consider whatever other information the President deems appropriate, and issue a written decision. The President's decision shall be final.

#### **3.4.9.2.2 DISMISSAL FOR CAUSE OR OTHER SERIOUS SANCTION.**

The following procedures will be followed only when a Faculty member faces possible dismissal for cause, suspension from service for a stated period with or without pay (unless the suspension is imposed pursuant to the "Administrative Leave or Suspension" provision below), revocation of tenure, or reduction in rank

or pay as a sanction pursuant to this policy. If the Faculty member faces some other lesser sanction, the procedures set forth in the “Correction Short of Dismissal or other Serious Sanction” provision in Section 4.9.2.1 above will apply.

1. **Investigation; Confidential Conference.** After receiving information or otherwise learning of possible serious performance deficiencies or misconduct on the part of a Faculty member, the Senior Vice President for Academics will determine whether to conduct an investigation. Any such investigation could include, but will not necessarily be limited to: discussion(s) with the Faculty member, discussion(s) with other individuals with relevant information, and review of documents and other information. After conducting whatever investigation the Senior Vice President for Academics deems appropriate, the Senior Vice President for Academics will discuss the allegations and information gathered during the investigation with the Faculty member in a personal and confidential conference.
2. **Notice of Allegations and Sanctions.** If the personal and confidential conference following the investigation described in item 1 above does not result in a mutually agreeable resolution within a reasonable amount of time after the conference, the Senior Vice President for Academics will give written notice to the Faculty member of the administration’s charges against him or her, that are framed with reasonable particularity and that, if established, would justify the sanction(s) under consideration. This notice must state the nature of the performance deficiencies and/or misconduct, including any sanctions to be applied during the time pending the outcome of the appeal process described below in items 5-18.
3. **Administrative Leave or Suspension.** The University places a high priority upon the integrity of its internal investigative, evaluative, and appeal processes. In certain circumstances, this necessitates temporary removal of Faculty members from active service during a pending investigation or an internal proceeding, or where the University reasonably believes that summary suspension is necessary to address threats of immediate harm. The University’s leave/suspension provisions applicable in such circumstances are as follows:

(a) Administrative Leave During Investigation

Where the University determines that a formal investigation is warranted as set forth in item 1 above, the Faculty member may request or the Senior Vice President for Academics may impose an administrative leave pending the outcome of the Senior Vice President for Academics’ investigation. Before placing a Faculty member on administrative leave under these circumstances, the Senior Vice President for Academics will consult the Hearing and Appeal Panel and the affected Faculty member. During this leave, the Faculty member’s salary and benefits will continue but the Faculty member will temporarily be excused from performance of some or all Faculty responsibilities (at the option of the University), pending the conclusion of the investigation. The Senior Vice President for Academics may attach appropriate conditions upon a Faculty member on administrative leave. A Faculty member placed on administrative leave during an investigation may petition the President at any time during the investigation for reinstatement to active service. The President shall decide whether to grant or deny such a petition, which decision shall be final.

(b) Suspension Following Notice of Dismissal or Termination

Where the University has issued a notice of dismissal or termination for any of the grounds enumerated in the *Faculty Handbook* following an investigation by the Senior Vice President for Academics, the affected Faculty member may request or the President may impose a suspension (or reassignment of the Faculty member to other duties in lieu of a suspension) while the Faculty

member undertakes any available appeal (as described in items 5-18 below). Before suspending or reassigning a Faculty member under these circumstances, the President will consult the Hearing and Appeal Panel, the Senior Vice President for Academics, relevant dean or other University supervisor, and the affected Faculty member concerning the propriety, length, and other conditions of the suspension. Salary and benefits will continue during the period of suspension. A Faculty member suspended during a termination or dismissal process may petition the President at any time during the termination or dismissal process for reinstatement to active service. The President shall decide whether to grant or deny such a petition, which decision shall be final.

(c) Summary Suspension

In extraordinary circumstances, the President or Senior Vice President for Academics may summarily suspend a Faculty member, upon a determination by the President or Senior Vice President for Academics that immediate harm to the safety and well-being of individuals within the campus community is threatened or that continued access by the Faculty member to the premises or computer networks of the University constitutes an immediate threat to University operations. Such a summary suspension could occur at any time during the process described herein. The University may also issue a no-trespass directive in such circumstances. A Faculty member summarily suspended under this provision is entitled, upon written request, to a prompt hearing before the President or Senior Vice President for Academics within 5 calendar days of notification of suspension.

The President or Senior Vice President for Academics must either lift a summary suspension or issue a notice of termination or dismissal within 10 calendar days after imposing the summary suspension. In the latter circumstance, any continuing suspension will become subject to the requirements of subsection (b) above (governing Suspension Following Notice of Dismissal or Termination).

4. **Faculty Member's Options.** The Faculty member has three options of response within 7 days after the administration provides the written notice referenced in item 2 above:

a) The Faculty member may accept the decision of the Senior Vice President for Academics and indicate that acceptance in writing, in which case the sanction(s) proposed by the Senior Vice President for Academics will be implemented without further recourse.

b) The Faculty member may deny the charges presented by the Senior Vice President for Academics or assert that the charges do not support the proposed sanction(s), but waive a hearing before the Hearing and Appeal Panel. The Senior Vice President for Academics will then present the written notice of charges, supporting evidence, and proposed sanction(s) to the Hearing and Appeal Panel. The Hearing and Appeal Panel will then evaluate all available evidence and make a recommendation in writing to the President based upon the evidence as presented to the Hearing and Appeal Panel.

c) The Faculty member may request a hearing through the Hearing and Appeal Panel. The Senior Vice President for Academics will present the written notice of charges, supporting evidence, and proposed sanction(s) to the Hearing and Appeal Panel. Service of notice of hearing with specific charges in writing will be provided to the Faculty member by the Senior Vice President for Academics at least 20 days prior to the hearing. Any such hearing will occur within 30 days of the Faculty member's request unless the University determines that additional time is required to make appropriate arrangements for such hearing.

5. **Prehearing Meetings.** At the request of the Faculty member, the Hearing and Appeal Panel may, with the consent of the parties concerned, hold joint prehearing meetings with the parties in order to (i) simplify the issues, (ii) effect stipulation of facts, (iii) provide for the exchange of documentary or other information, and (iv) achieve such other appropriate prehearing objectives as will make the hearing fair, effective, and expeditious.
6. **Private Hearing.** The hearing will be private and confidential unless the Faculty member and the administration agree otherwise. To be private only the accused, the President, the Senior Vice President for Academics, the Dean of the College in which the accused is a member, the Chair of the Department where the accused is a member, members of the Hearing and Appeal Panel, and, if selected, the advisor(s) chosen by the member and administration, respectively (see 7 following.).
7. **Advisors.** During the investigation and proceedings of the Hearing and Appeal Panel, the Faculty member and the administration will be permitted to have an advisor of their choosing. If the Faculty member elects to retain an attorney for this purpose, the administration may also include an attorney in the proceedings; if the Faculty member chooses a non-attorney, the University's advisor shall also be a non-attorney Faculty.

It is understood that this restriction does not preclude either or both the accused Faculty member and/or the administration, without violation of this restriction, from consulting privately with any attorney or attorneys of their respective choice, each at their own expense.

8. **Recording of Hearings.** At the written request of the Faculty member or the administration, the hearing or hearings will be tape recorded or, with the consent of both the Faculty member and the administration, transcribed. Any recording or transcript will be made available to the Faculty member, without cost, at the Faculty member's request. The administration will also have access to any recording or transcript. The University is responsible (a) for arranging such recording or transcription and (b) for paying the costs associated with such recording or transcription and for making a reasonable number of copies of the same.
9. **Burden of Proof.** The burden of proof that adequate cause for a sanction exists rests with the University and will be satisfied by a preponderance of the evidence in the record as a whole.
10. **Adjournments.** The Hearing and Appeal Panel may, in its discretion, grant adjournments to enable either party to investigate evidence as to which a valid claim of surprise is made.
11. **Presentation of Witnesses and Evidence.** The Faculty member and the administration will be afforded an opportunity to gather and submit necessary witnesses and documentary and other evidence. Although the administration does not have the power to compel the attendance of witnesses, the Senior Vice President for Academics will cooperate with the Hearing and Appeal Panel in taking reasonable steps to secure the attendance of witnesses and to make available documentary and other evidence. In unusual circumstances, the Hearing and Appeal Panel may, after consulting with the parties, provide for the questioning of witnesses through the Hearing and Appeal Panel, using video or other technology, or by other means deemed appropriate by the Hearing and Appeal Panel.
12. **Questioning of Witnesses; Witness Statements.** The Faculty member and the administration will have the right to confront and cross-examine all witnesses. Where a witness cannot or will not appear, but the Hearing and Appeal Panel determines that the interests of justice require admission of their statements, the Hearing and Appeal Panel or the Senior Vice President for Academics will identify the witnesses, disclose their statements, and, if possible, provide for interrogatories.

- 13. Faculty Testimony.** In the hearing of charges of incompetence, the Hearing and Appeal Panel may, in its discretion, permit testimony of qualified Faculty members from this University.
- 14. Rules of Evidence.** The Hearing and Appeal Panel will not be bound by strict rules of legal evidence, and may admit any evidence which is of probative value in determining the issues involved. The Hearing and Appeal Panel will have an opportunity to question the Senior Vice President for Academics, witnesses, and the Faculty member. Every possible effort will be made to obtain the most reliable evidence available.
- 15. Hearing and Appeal Panel Recommendation.** The findings of fact and the Hearing and Appeal Panel's recommendation will be based solely on the hearing record.
- 16. Publicity or Other Statements.** Except for simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by the Faculty member, the Hearing and Appeal Panel, or the administration will be avoided until the proceedings have been completed, including any consideration by the Board of Regents.
- 17. Hearing and Appeal Panel Recommendation; President's Decision; Review by Board of Regents.** The Faculty member and the Senior Vice President for Academics will be notified of the Hearing and Appeal Panel's recommendation in writing and will be given access to the record of the hearing upon request. The Hearing and Appeal Panel will report its findings in writing within a reasonable amount of time (typically not to exceed 7 days) after the conclusion of a formal hearing.
- a. If the Hearing and Appeal Panel finds that cause for administering a sanction has not been established by the evidence in the record, it will so recommend to the Faculty member and the Senior Vice President for Academics. If the Senior Vice President for Academics rejects the recommendation, the Senior Vice President for Academics will state the reasons for doing so, in writing, to the Hearing and Appeal Panel and to the Faculty member, and provide an opportunity for response from the Hearing and Appeal Panel or the Faculty member before transmitting the Senior Vice President for Academics' recommendation to the President.
  - b. If the Hearing and Appeal Panel finds that cause for administering a sanction has been established by the evidence in the record, it will so recommend to the Faculty member and the Senior Vice President for Academics. The Senior Vice President for Academics will provide an opportunity for the Faculty member to respond before transmitting the Senior Vice President for Academics' recommendation to the President.
  - c. If the Hearing and Appeal Panel concludes that adequate cause for a sanction has been established, but that an academic penalty less than dismissal, suspension with or without pay, revocation of tenure, or reduction in rank or pay would be more appropriate, it will so recommend to the President, with supporting reasons, and provide its recommendation to the Faculty member and the Senior Vice President for Academics. If the Senior Vice President for Academics rejects the Hearing and Appeal Board's Panel's recommendation, the Senior Vice President for Academics will state the reasons for doing so, in writing, to the Hearing and Appeal Panel and to the Faculty member, and provide an opportunity for response before transmitting the Senior Vice President for Academics' recommendation to the President.
  - d. The President will provide a written decision regarding the matter to the Faculty member, to the Hearing and Appeal Panel, and to the Senior Vice President for Academics within a

reasonable period. Except in matters in which the President decides that dismissal is appropriate, the President's decision shall be final.

- e. If the President decides that dismissal for cause of a Faculty member with tenure is warranted, the President will, on the request of the Faculty member, transmit to the Academic Sub-Committee of the Board of Regents the record of the matter. In such circumstances, the Faculty member may request that the matter be transmitted to the Academic Sub-Committee by submitting a written request in writing to the President within 10 days of the date of the President's decision. Any such request must also state the grounds upon which the request is based. In all other matters, the President's decision shall be final.
  - i. The Board of Regents' review, conducted by and through its Academic Sub-Committee, will be based on the record of the Hearing and Appeal Panel, as well as the recommendations of the Hearing and Appeals Panel, the Senior Vice President for Academics, and the President; the Board of Regents will provide opportunity for argument, oral or written or both, by the principals at the hearings or by their advisors.
  - ii. The decision of the Hearing and Appeal Panel will be sustained or the proceeding returned to the Hearing and Appeal Panel with specific objections. If objections are noted, the Hearing and Appeal Panel will then reconsider the matter, taking into account the stated objections and receiving new evidence if necessary.
  - iii. The Board of Regents, by and through its Academic Sub-Committee, will make a final decision and inform the Faculty member, the Hearing and Appeal Board Panel, the Board of Regents, and the President of its decision in writing.

**18. Hearing and Appeal Panel Composition.** The Hearing and Appeal Panel shall be composed of seven fulltime Faculty members, with at least one Faculty member from each college. Members shall be elected by members of the University Faculty for a two year term. A Faculty member is eligible to serve two consecutive two year terms. Four members shall be elected one year, and three members shall be elected in the next year. The election process shall be administered by the University Faculty election policy and process in place at the time. No Department Chair, Dean, Assistant Dean, Vice President, or Assistant Vice President shall be eligible for election or service on this Panel. If an elected member of this Panel shall be one of the parties in a specific procedure, such person shall not be eligible to serve on this Panel for that specific procedure. For the specific procedure the Panel shall operate with one or more members ineligible for service for that procedure. Should the Panel, due to this temporary elimination process, be composed of less than five members, an election shall be held immediately to bring the Panel back to five members for handling any business for this procedure in process. Similarly, if one or more of the elected members of this Panel shall be deemed to be in a perceived or actual conflict of interest for a particular procedure, the immediately preceding adjustments shall be made to Panel membership for this procedure. Summarily no President, Vice President, or Dean is an *ex officio* member of the Hearing and Appeal Panel, thus being an exception to several references in this *Handbook* to such automatic *ex officio* status granted these positions.

**Modification of Procedures and Timelines.** The termination, dismissal, and related processes referenced in the *Faculty Handbook* are designed to ensure that decisions are fairly and properly rendered and that Faculty members obtain a full and fair appeal of decisions with which they disagree. Depending upon the timing of a particular termination, dismissal, or other notice, however, the Hearing and Appeal Panel or

selected decision makers might be called upon to conduct hearings or take action on an expedited basis or during summer or break periods. Or, in other cases, rare circumstances may arise suggesting the need for a stay in a pending process or modification of the processes outlined above.

To address such circumstances, the President or the President's designee has the discretion, upon written notice to the parties, to extend deadlines or modify procedures to accommodate the scheduling needs of the Panel or of other participants in the decision-making process or to respond to exceptional circumstances requiring modification of standard processes. The President or the President's designee shall notify not only the parties but also the Hearing and Appeal Panel. The President or the President's designee may also notify any other involved University official or body of any decision to modify these procedures for a given situation.

### **3.4.10 MODIFIED SERVICE AND RETIREMENT**

Faculty members may request early retirement under the applicable provisions of the Concordia Retirement Plan. Upon retirement, Faculty members who are ordained or commissioned ministers of religion are retained on the appropriate roster of the Synod on the basis of Bylaw 2.11.2.1<sup>45</sup>, as emeritus, and may, by action of the Board of Regents, be retained on the roster of their Faculty as "emeriti".

### **3.4.11 RETIREMENT AGE**

Normal retirement age for all Concordia employees is defined by the current policies of the Concordia Retirement Plan in effect from time to time. A person may retire at normal retirement age, but there is no requirement to do so for tenured Faculty. If not tenured, Faculty members may retire any time, if under contract at that time. Several months prior to anticipated retirement the Faculty member is herewith advised to consult with Human Relations to receive current information relative to the Concordia Retirement Plan provisions and Social Security options.

### **3.4.12 EXTENSION OF SERVICE**

If an employee retires, but desired to continue to perform part-time service, such service may be entered into upon reaching mutual agreement concerning the extent and nature of the work together with remuneration. Appropriate rules of the Concordia Retirement Plan, the Pension Plan for Pastors and Teachers, Concordia Health Plan, and Social Security will be determinative in making these arrangements.

### **3.4.13 FACULTY LEAVES**

#### **3.4.13.1 SABBATICALS**

a. Eligibility:

Faculty members are eligible to apply for sabbatical leave in the tenth year of full-time service at any Synodical college, university, or seminary. The ten years will not include any time on full study leave from the Synodical institution.

b. Type of Leave:

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<sup>45</sup> 2013 LCMS Handbook, Section 2.11.2.1.



Faculty members may apply for a full year (July 1- June 30) leave of absence at half salary or a one-semester leave of absence at full salary.

If the granting of a sabbatical is delayed, the applicant begins accruing time for eligibility for a subsequent sabbatical application from the time of the initial application.

c. Procedures:

The Senior Vice President for Academics will annually publish information regarding eligibility for sabbatical leaves. Faculty members may apply for sabbatical leave for the subsequent academic year by completing an application available from the Office of the Senior Vice President for Academics and submitting it to that office no later than September 10th of the academic year prior to the year of the requested leave. This application must include the purpose of the projected leave, the plans for the leave, the department's plans to cover the leave, and how Concordia will benefit from the proposed leave.

d. Criteria:

The Senior Vice President for Academics will consider the following criteria, in consultation with the Deans' Council, in making the recommendation to the Board of Regents regarding the request for the sabbatical.

1. Primary Criteria:

- The potential contribution to the Faculty member's discipline or higher education.
- The benefit of the leave to the University or the church.
- The benefit of the leave to the individual Faculty member.
- The number of years a Faculty member has been eligible and has applied for a sabbatical.

2. Secondary Criteria:

- The plans for covering the leave by the academic department.
- The cost of the leave to the University.

The size of the department shall have no bearing on the eligibility for or granting of sabbatical leaves.

**The University expects that Faculty members who take a sabbatical leave will serve at Concordia at least one year following the leave.**

e. Elected Committee Service during Sabbatical Leave

A Faculty member on sabbatical leave does not have to serve on their elected committees during the sabbatical period, whether such leave is a half year full leave or two semester half leave. A replacement will be elected for that time period. A Faculty member on sabbatical or other leave at the time of election is eligible for election. Absence from a Committee during any leave does not extend term for which elected.

### **3.4.13.2 STUDY LEAVE POLICY**

The University encourages Faculty members to engage in advanced study programs to improve their preparation for service to the University. The Senior Vice President for Academics may approve various schedule adjustments to allow the Faculty member the necessary time for study.

Some financial assistance is frequently available for tuition costs. Faculty members may apply directly to the Senior Vice President of Academics.

The following guidelines apply to study leave;

- a. The University assumes that fiscal challenges relating to study leaves are primarily the Faculty member's responsibility.
- b. The University will express and demonstrate a willingness to assist the Faculty member in locating some of the financial resources required for purposes of a full-time or part-time study leave.

The University encourages the Faculty member to seek out various forms of assistance in that institution where the doctoral studies will take place, and pledges to be of assistance to the Faculty member in gaining this assistance. In the administration of the advanced study assistance program, consideration will be given on the basis of past service to the church and in the profession, whether or not the Faculty member has tenure, his/her Faculty rank, and the educational costs involved.

- A Faculty member receiving a Fulbright award will continue to receive their regular compensation. It is assumed that the Fulbright award will cover any expenses (travel, materials, conferences, etc.), which may be supplemented by other sources. During the time of leave the University will not accept responsibility for any expenses associated with the leave or its activities.
- The Faculty member will be expected to apply for a research load reduction to offset the cost of staffing his/her courses during the period of the Fulbright.
- The Faculty member agrees to commit to a return to service at Concordia University Chicago for no less than two years following the Fulbright scholarship period.

The Board of Regents must approve every subsidized or non-subsidized leave before it becomes an officially approved leave. No administrator shall make any commitments on behalf of the board, nor shall any member of the Faculty finalize plans for a leave program without the specific authorization by the Board.

### **3.4.14 FACULTY RESEARCH**

The University encourages Faculty members to engage in various forms of productivity – research, publication, institutional studies, creativity and performance in the arts, and other scholarly efforts for professional growth and the enrichment of the institutional program.

#### **3.4.14.1 INSTITUTIONAL REVIEW BOARD**

Concordia University Chicago recognizes its ethical, legal, and federally mandated responsibilities to safeguard the rights and welfare of human subjects in all research conducted by its students and personnel. Its ethical responsibilities are guided by the principles outlined in the *Belmont Report* of respect for persons, beneficence, and justice. Concordia's federally mandated responsibilities come from the Department of Health and Human Services (DHHS) and are outlined in Title 45, Part 46 of the Code of Federal Regulations (45 CFR 46). These regulations mandate that all institutions engaged in research with human subjects provide the dual protections of Institutional Review Board (IRB) review and informed consent from the participants.

The IRB for Concordia University Chicago is sponsored by the Office of Planning and Research and is headquartered on the River Forest campus. Members of the IRB, appointed by the President, represent the interests of the University and the broader community. They possess varied backgrounds and expertise, and include at least one member not affiliated with the University. The IRB meets once a month, and minutes of its meetings are filed in the Office of Planning and Research.

It is the responsibility of individual investigators to familiarize themselves with the policies and procedures set forth in the IRB Manual. The University regards any infringement of these policies and procedures as a serious breach of professional standards. The University's willingness to defend researchers in litigation depends on strict adherence to policies and procedures regarding IRB approval.

Members of the Concordia community may bring issues of general policy regarding human subjects in research to the attention of the IRB. Questions should be sent in writing to the Chairperson of the IRB. Interpretation of applicability of IRB rules and regulations are solely the legal right and responsibility of the IRB.

The Concordia University Chicago Institutional Review Board does not approve the academic merit of research studies but certifies the investigator's compliance with guidelines for the ethical treatment of human research participants. The IRB does consider the design and data-gathering procedures of the study to the extent to which they impact the rights and well-being of human subjects.

#### **3.4.14.2 MEMBERSHIP OF THE IRB**

The IRB will consist of at least five qualified individuals with diverse backgrounds. This should include at minimum one Faculty member from the Natural Sciences Department and at least one Faculty member with a nonscientific background. Membership will also include a Faculty member from the Psychology Department, a Faculty member from an educator preparation (P-12 licensure) program, a Faculty member who specializes in the field of Ethics, and two community members. Whenever possible, membership of the IRB will reflect the four Colleges proportionally. Legal counsel must be available to the committee. Membership to this committee will be by appointment of the President upon recommendation by the Senior Vice President for Academics. The Chair will be a Faculty member.

#### **3.4.14.3 CONFLICT OF INTEREST**

Conflict of Interest – A member of the IRB may not certify or approve of any application for which the IRB member has a direct interest, either as an investigator, committee member, or Faculty sponsor of a student's project.

#### **3.4.14.4 ACTIVITIES THAT MAY NOT REQUIRE REVIEW**

The following activities do not typically require review because they do not satisfy the definition of research. Most often the following activities are thought of as learning experiences only, since the information gathered will not be used as actual "data" for publication or presentation. However, information obtained via any of these activities would be considered research if it were incorporated into a publication or presentation that would be used to contribute to generalizable knowledge.

#### **3.4.14.5 CLASSROOM PROJECTS**

In many academic programs a knowledge of research methods/methodology is vital to a well-rounded education. Instructors may encourage their students to design small projects simply to teach them how to properly conduct research. In most cases, the data will not be used to contribute to generalizable knowledge and may not require IRB review. However, they must be registered using the Faculty Assurance Form for Classroom Projects and submitted to the IRB.

#### **3.4.14.6 PROGRAM EVALUATIONS**

Investigators may gather data from human subjects through direct or indirect interaction for purposes of program evaluation. The information they collect will not be used to contribute to generalizable knowledge, rather the results will be used to improve or develop an internal program.

#### **3.4.14.7 CUC STATEMENT ON ANIMAL RESEARCH**

Concordia University Chicago recognizes that scientific knowledge developed through animal research has enhanced both animal and human health world-wide. The University also recognizes its legal and ethical obligations to ensure that animals are not used needlessly. To this end, Concordia University Chicago does not currently allow the use of animals in research, training, experimentation, or classroom demonstrations. Animals are defined as “any live, vertebrate animal used or intended for use in research, research training, experimentation, or biological testing or for related purposes” (Health Research Extension Act of 1985, Public Law 99-158, “Animals in Research”).

The University is committed to reviewing this policy annually and when deemed necessary will pursue the establishment of an Institutional Animal Care and Use Committee (IACUC). Until that time, Faculty, students and other University personnel are encouraged to communicate with relevant Department Chairs, Deans and the Director of Academic Research to determine what research falls within the acceptable limits of the University.

#### **3.4.15 FACULTY ALLOWANCES FOR PROFESSIONAL CONFERENCES**

To the extent that funds are available, the University will subsidize Faculty members who are participants on a conference program for travel and other expenses connected with attendance at a meeting of a learned society. The University will also subsidize registration expenses for Faculty members attending at least one conference per year even though they are not on the program; again, of course, this depends on whether funds are available. Funding for this purpose comes through the college dean.

In all cases where the University assumes the expenses, or where the Faculty member will miss classes, the department chair or dean must grant approval before any commitment is made. Wherever possible, the Faculty member shall make arrangements for classes to be missed and the department chair or dean must approve such arrangements. The Faculty member may make no commitments to persons not on the Faculty without prior consent of the department chair or dean.

Upon the return from a convention, the Faculty member submits a requisition with itemized expenses, including receipts, to the dean who signs it and submits it to the controller.

For the complete University Travel Policy, required advance approvals, travel methods, auto use, documentation, and reimbursements covered, the Faculty member is requested to reference the official *Travel Expense Policy*, [click here](#).

If a cash advance is requested refer to the [University Cash Advance Policy](#).

### **3.4.16 FACULTY ANNIVERSARY FUND**

For an anniversary observance, the University marshal has the responsibility that each active Faculty member observing his/her 25th, 40th, or 50th year of service in the church be appropriately recognized. Funds available for observance will be as follows:

\$125 for a 25th anniversary

\$200 for a 40th anniversary

\$250 for a 50th anniversary

Determining eligibility for anniversary celebrations is the responsibility of the Senior Vice President for Academics. Any questions concerning the time of celebration shall be worked out in a consultation with the Faculty member(s) involved.

### **3.4.17 DISCLOSURE OF CONFLICTS OF INTEREST**

Every board or commission member, officer, and all staff of corporate Synod and every agency of the Synod<sup>46</sup> shall avoid conflicts of interest as described in this bylaw<sup>47</sup>.

- (a) Every agency shall implement the Synodwide conflict-of interest policy, and that policy shall be applicable to them and all staff operating under them. This policy shall include the following provisions:
  - (1) Every board or commission member shall disclose to the chairman of the agency, and all staff shall disclose to the chief executive or executive director of the agency, any potential conflicts of interest. Each chairman or chief executive or executive director shall disclose personal potential conflicts of interest to the appropriate board or commission.
  - (2) Such disclosures shall include board membership on, a substantial interest in, or employment of the individual or a relative by any organization doing business with corporate Synod or any of the agencies of the Synod.
  - (3) Every board or commission member, officer, and all staff of corporate Synod and every agency of the Synod who receives honoraria or payments for any sales or services rendered to corporate Synod or any of the agencies of the Synod shall disclose such information.
  - (4) All such disclosures shall be reported to the respective board or commission to determine by a vote of its remaining impartial members whether an inappropriate interest exists, and such vote shall be recorded in its official minutes. In the case of officers, all such disclosures shall be reported to the President of the Synod to determine whether an inappropriate interest exists.

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<sup>46</sup> This policy applies to Faculty members, as Concordia University is an agency of the Synod in the meaning for this policy.

<sup>47</sup> This policy is mandated in the *2013 LCMS Handbook*, Section 1.5.2.

- (b) Responsibilities shall be carried out in a manner reflecting the highest degree of integrity and honesty consistent with the Scriptures, the Lutheran Confessions, the Constitution, Bylaws, and resolutions of the Synod, the policies of corporate Synod and the agencies of the Synod, and civil laws.
- (1) Activities shall not be entered into which may be detrimental to the interests of the Synod. Any inappropriate activity shall cease or the position will be vacated.
- (2) Information acquired in the course of carrying out duties of the Synod shall not knowingly be used in any way that would be detrimental to the welfare of the Synod.
- (3) No one shall vote on any transaction in which the individual might receive a direct or indirect financial gain.
- (4) The Board of Directors shall establish policy regarding the acceptance of gifts, entertainment, or favors from any individual or outside concern which does or is seeking to do business with corporate Synod or the agencies of the Synod.
- (c) Individuals, prior to accepting elected, appointed, or staff positions, shall initially and annually thereafter sign statements stating that they have received, understand, and agree to abide by this bylaw and the Synod's conflict-of-interest policy.

This policy will be administered through the Human Resources Office, which will provide the fulltime Faculty with the appropriate form when a Faculty member joins the Faculty and annually thereafter. Such disclosures will be forwarded by this Office to the appropriate Synodical official and the Board of Regents for determination whether an inappropriate interest exists. For purposes of this policy, "conflict of interest" includes any situation that could reasonably give rise to the appearance of partiality in the individual's conduct of job-related activities, due to a familial, social, or business relationship. If a conflict exists or arises, Faculty members shall have an ongoing obligation to disclose same to the Human Resources Office, and cooperate in seeking to mitigate the conflict (e.g., to substitute a neutral party where appropriate); if the conflict cannot be entirely mitigated it shall be disclosed in writing with any submission from the conflicted party relating to the subject matter of the conflict.

### **3.4.18 ROSTERED FACULTY REMOVAL FROM POSITION**

A Faculty member who is on a roster of the Synod is under the ecclesiastical supervision of the Synod. In the event a member is removed from membership in the Synod pursuant to procedures established by these bylaws, then that member is also considered removed from the position held and shall be terminated forthwith by the board of regents<sup>48</sup>.

### **3.4.19 ACADEMIC FREEDOM POLICY**

#### **3.4.19.1 HIGHER EDUCATION MISSION STATEMENT**

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<sup>48</sup>2013 LCMS Handbook, Section 3.10.5.6.4.1,

“The colleges, universities, and seminaries of The Lutheran Church—Missouri Synod exist to supply the higher education services needed to accomplish the mission of the church.”<sup>49</sup>

“Strongly committed to the Lutheran concept of vocation, synodical colleges and universities are liberal arts institutions which provide a Christ-centered spiritual and value-oriented environment for men and women who will be Christians in the church and in secular occupations.

“The objectives of the Synod include the recruitment and education of professional church workers. Therefore, central to the system of synodical higher education is the preparation of those who are called to serve through preaching, teaching and related vocations. Professional preparation for the pastoral ministry is the special assignment of the Synod’s seminaries.”

### **3.4.19.2 FREEDOMS AND OPPORTUNITIES**

1. Much of value can be learned from the concepts of academic freedom that are commonly found in American culture. However, academic freedom and its related responsibilities as recognized and practiced in the Concordias have their fundamental basis in the Christian identity of our institutions of higher education.
2. A Concordia campus views academic freedom and responsibility as an expression of the reality of the scriptural Lutheran faith. As agencies of The Lutheran Church—Missouri Synod, the Concordias express the confessional significance of believing in Christ and his Scriptures, teaching the scriptural Lutheran faith, and confessing the Gospel to the world.
3. A Concordia campus is a Christian community, characterized by a high awareness of the reality and importance of collegial relationships and commitments.
4. A Concordia campus values the centrality of a Lutheran understanding of Law, Gospel, and the forgiveness of Christ for all. This reality permeates classrooms, administrative work, and human relations among all campus constituencies.
5. A Concordia campus provides opportunities for Faculty to integrate faith, life, and learning. This includes opportunities to address issues in our contemporary environment from the standpoint of informed Lutheran scholarship.
6. A Concordia campus values the individuality of each Faculty member and respects the right of Faculty to hold diverse opinions. The right of persons to retain the convictions of their faith and conscience is respected, but the institution has specific expectations regarding the presentation of doctrinal teachings.
7. A Concordia campus expects its Faculty to exhibit a strong commitment to scholarship and the professional expectations of the various academic disciplines. The pursuit of

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<sup>49</sup> This entire section on academic freedom is quoted from the Concordia University System Institution Policy Manual (2013-09-03)). Section 9.

knowledge through intellectual inquiry and research is highly valued as a mark of institutional excellence.

8. A Concordia campus respects the right and responsibility of Faculty members to present the empirical and historical subject matter involved in their scholarly disciplines. Scholarly information related to the subject matter may be presented, provided the manner of presentation is within the parameters of the responsibilities and limitations listed below.

### **3.4.19.3 RESPONSIBILITIES AND LIMITATIONS**

1. A Concordia Faculty member may present and discuss concepts that conflict with Synod teachings, including historical information and the results of research in a Faculty member's discipline. The corresponding responsibilities are that the Faculty member presents the material in a manner that encourages constructive insights and enhanced understanding of the issues, that he/she presents a fair and accurate description of the Synod's position, and that he/she does not advocate a position contrary to that of the Synod.
2. A Concordia Faculty member acknowledges that he/she functions within a community that has multiple dimensions (e.g., campus, congregations, The Lutheran Church—Missouri Synod, the church-at-large, society). As a responsible colleague, the Faculty member has a clear awareness of the position of respect and responsibility that those communities confer upon Faculty members.
3. A Concordia Faculty member acknowledges that in certain situations he/she will voluntarily limit his/her expression of opinions and convictions. Such limitations involve a professional and personal judgment regarding the appropriateness of the message to the audience, so that the mission of the institution and of the church is supported rather than hindered.
4. A Concordia Faculty member affirms that expressions of academic freedom are primarily a matter of individual and professional responsibility.
5. A Concordia Faculty member will ordinarily confine his/her teaching and counseling of the institution's students to his/her areas of professional expertise.
6. A Concordia Faculty member, when engaged in publication and public presentation, will do so with the awareness that there is always a tacit association of the professor with the institution.
7. A Concordia Faculty member acknowledges that he/she is serving an institution that is an entity owned and operated by The Lutheran Church—Missouri Synod, and that the Synod expects its mission, values, and teachings to be clearly taught and reflected in its institutions.
8. A Concordia Faculty member will work peacefully under the Constitution, Bylaws, and policies of The Lutheran Church—Missouri Synod, its Concordia University System, and the institution.



9. A Concordia Faculty member will not actively promote a doctrinal position that is in opposition to the doctrinal position of the LCMS. A Concordia Faculty member accepts responsibility for becoming knowledgeable regarding the teachings of The Lutheran Church—Missouri Synod on the theological topics and issues related to his/her academic responsibilities.

#### **3.4.19.4 DUE PROCESS**

1. The fundamental purpose of due process regarding academic freedom responsibilities is to protect the academic freedom of the Faculty member and to uphold the policies and positions of the institution. The attitude of all involved should be inclined to humility and forgiveness.
2. Each institution is responsible for maintaining clearly stated procedures for due process that include the process and policies described in the 2010 LCMS *Handbook* §3.10.5.6.9.

#### **3.4.19.5 IMPLEMENTATION**

Written acceptance of the preceding “Responsibilities and Limitations” is required for all Faculty members. This applies to new and renewal contracts as well as offers of regular appointment. Faculty with tenure or open-ended contracts shall sign the above “Responsibilities and Limitations” one time.

### **3.5. REDUCTION IN FORCE POLICY**

#### **3.5.1 PREAMBLE**

- a. This Reduction in Force (RIF) policy establishes a process for reducing the number of Faculty as an adjustment to changing needs that affect Concordia University. It is non-discriminatory in accordance with the laws of the United States.
- b. This RIF policy is based on carefully developed documentation to ensure that decisions are made equitably and compassionately for everyone involved.
- c. RIF is a process for removing from the University competent Faculty whose position must be eliminated due to budgetary constraints or programmatic changes. The process of RIF is not designed to remove from the Faculty persons who are considered incompetent for reasons referred to in the 2013 LCMS *Handbook*, Section 3.10.5.6.4 and the *Faculty Handbook*, Section 2.3.9. Removal for any of these reasons must be dealt with through procedures outside the RIF process.
- d. This RIF policy will become effective only after other reasonable measures to retain all competent Faculty members have been exhausted. This will require extraordinary effort on the part of all people concerned to work together faithfully to resolve the problems confronting the Concordia community.
- e. The RIF policy at Concordia University has been developed in accord with the following directive of the formerly mandated 2010 LCMS *Handbook*, 3.10.5.6.7. [Note: At CUC, the “continuing-level appointment Faculty” is the tenured Faculty.]

- “f. Positions of initial-level appointment, as well as continuing-level appointment Faculty, may be terminated by the Board of Regents under certain institutional conditions that do not reflect on the competency or faithfulness of the individual Faculty member whose position is terminated. These conditions are the following:
1. Discontinuance of an entire program (e.g., social work, business).
  2. Discontinuance of an entire division or department (e.g., modern foreign language) of a college, university, or seminary.
  3. Reduction of the size of staff in order to maintain financial viability in compliance with policies concerning fiscal viability.
  4. Discontinuance, merger, or consolidation of an entire college, university, or seminary operation.”<sup>50</sup>

### **3.5.2 APPLICATION OF POLICY**

Once need for reduction in force is established, all Faculty are subject to review. The policy covers called and non-called Faculty members. It covers Faculty members who serve under a contract for an express period of time, whether or not their contracts are up for renewal, and tenured Faculty. The institution can terminate contracts of Faculty before expiration of the term of the contract and terminate tenured Faculty without cause only after following procedures set forth by the RIF policy.

### **3.5.3 PROCEDURES**

- a. Documentation of the need for Reduction in Force:

Documentation of need will be directed and reviewed by an *ad hoc* committee of the University, which will report its finding and recommendations to the Board of Regents for decision. In those situations where discontinuation of a program, department, division, or college is being considered, documentation must provide a clear rationale for the discontinuation. In those emergency situations where the financial viability of the entire University is at issue, documentation must clearly describe the financial status of the institution. In either case, the basis for invoking RIF, including evidence that all reasonable measures to retain competent Faculty have been exhausted, must be clearly documented. The ad hoc committee charged with documenting the need for reduction in force shall be composed of the following:

- Senior Vice President for Academics – chair.
- Vice President for Administration.
- Deans of all colleges.
- Three members at large from the University Faculty, selected by the University Faculty at a duly called and constituted meeting, written notice of which must be given not less than ten (10) days prior to the meeting, which notice will state that at the meeting members at large of the *ad hoc* committee will be selected.

- b. Decisions about Applying the Policy:

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<sup>50</sup> 2013 LCMS Handbook, Section 3.10.5.6.47.

1. Selection of the Committee.

Within thirty days of verification of the need for a reduction in force by the *ad hoc* committee described in Paragraph A, a separate *ad hoc* committee shall be formed consisting of:

Senior Vice President for Academics.

Six Faculty members elected at large, at least one from each college having primary members, selected by the Faculty at a duly called and constituted meeting, written notice of which has been given no less than ten (10) days prior to the meeting, which notice shall state that at the meeting members at large of the *ad hoc* committee shall be selected.

College Deans not serving as elected, voting members of the committee shall serve as advisory, non-voting members.

The seven voting members of the committee shall elect a chair by majority vote.

3. Process:

First step: Identify any distinct programs, departments, divisions, colleges, or positions, which can be discontinued with minimal damage to the University.

(Note: The first step is required when the financial viability of the institution as a whole is at issue, but the step may be omitted in those situations where a decision has previously been made to eliminate an entire program, department, division, or college.)

Second step: Identify persons to be removed from the Faculty by RIF or non-reappointment.

- a) If an entire program, department, division, or college is being continued, Faculty serving in that program are subject to RIF. If, however, one or more Faculty members also teach in other areas or serve the University in other capacities, consideration will be given to those contributions and their value to the University, as indicated by the criteria listed below.
- b) If a particular position occupied by an identifiable Faculty member is being discontinued, the Faculty member serving in that position is subject to RIF, unless that Faculty member also serves in another capacity deemed essential for the University.
- c) If it is determined that a program, department, division, or college should be maintained but reduced by one or more Faculty positions, criteria listed below should be used to identify individual Faculty for reduction in force.
- d) If it is determined that all programs, departments, divisions, and colleges should be maintained, individual criteria should be used to identify Faculty at large for reduction in force.

3. On the basis of documentation on file, that provided by the individual(s), and that assembled by the *ad hoc* committee (III B), the following criteria will be used in the identification and selection of Faculty who will be released:

(Note: The order of the criteria below does not necessarily imply ranking.)

- evidence of quality teaching from a variety of indicators.
- existence of scholarly productivity appropriate to the descriptive service to the University, the profession, the community, and the church.
- likely future contributions to the University, in terms of the anticipated direction of the University, its programs, and structure,
- tenure and/or seniority.

(Note: RIF allows for dismissal of tenured Faculty, but does not imply that tenure is irrelevant or that tenure is unrelated to merit.)

- meeting load expectations.
- possessing terminal degree.
- reasonable flexibility in teaching and service load, consistent with the Faculty member's expertise and the needs of the University.

4. After this ad hoc committee has determined the most probable individual(s) for termination, it will recommend the same to the Board of Regents.

c. Effecting Decisions under the Policy.

The Senior Vice President for Academics and the chair of the committee shall inform any individual whose position has been terminated under RIF by the Board of Regents. If the Senior Vice President for Academics is elected as chair, the committee shall select another member to assist the Senior Vice President for Academics in this function. Notification and Implementation shall follow the guidelines outlined in "a" and "d" of former Section 3.10.5.6.7 of the 2010 *LCMS Handbook*.

**“a. In the event of termination of a Faculty position by the Board of Regents, a minimum of six months advance notice to initial-level appointment Faculty and 12 months advance notice to continuing-level appointment Faculty must be provided the terminated professor in writing.**

**“d. A terminated position may not be filled subsequently by another person during the next two academic years without first offering the last previous incumbent who held the position with continuing-level appointment status the position at his or her last previous salary plus average annual salary increases provided to that Faculty during the interim.”**

Positions must not be combined in any way that will interfere with recall rights of released Faculty.

### 3.5.4 PERSONAL RIGHTS

- a. Subject to diminishment in benefits as provided in paragraph e below, if a non-tenured Faculty member is released prior to the expiration of a contract, the Faculty member shall receive full salary and benefits for three months. If after that time a new position has not been secured, the President and the Senior Vice President for Academics will consult with the released Faculty members and thereupon consider, at their discretion, further financial support (if any) during the course of the contract.

Subject to diminishment in benefits as provided in paragraph e below, if a tenured Faculty member is released, the Faculty member shall receive full salary and benefits for six months. If after that time a new position has not been secured, the President and the Senior Vice President for

Academics will consult with the released Faculty member and thereupon consider, at their discretion, further financial support.

- b. During the final six months of tenure or service, a Faculty member, upon written request and subject to the approval of the President, may be released from all professional duties to allow the Faculty member to apply all of his/her time and energy to the process of reemployment and/or revision of his/her professional future.
- c. An individual scheduled for release who is willing to be retrained for another teaching position within the University or who is willing to accept a non-teaching position should be given the opportunity to do so if, in the view of the administration, he/she either has the qualifications for that position or can with reasonable effort acquire those qualifications. The candidate will then receive compensation toward living expenses and cost of schooling. The amount will be based on the resources available to the institution, as determined by the President and Senior Vice President for Academics.
- d. Except as provided in paragraph e below, Faculty who are honorably terminated are entitled to continued health insurance benefits and retirement benefits on the same terms as before dismissal. This means that if the Board paid all or a portion of the cost of coverage, it must continue to do so until the commencement of the next academic year beginning July 1.
- e. An individual who has been notified that his/her position with the University will be terminated under this policy shall continue to serve until the end of the term. However, individuals may, upon written request to and approval by the President, terminate employment with Concordia at an earlier time should a suitable job opportunity arise. The President on a case-by-case basis will determine what constitutes sufficient notice. Individuals who terminate employment without the approval of the President shall thereby forfeit benefits under paragraphs "a".
- f. Every effort should be made to make this a positive action and a cooperative endeavor among the fellowship of believers seeking the will of God insofar as it can be determined.

### **3.5.5 APPEAL**

The Faculty Welfare Task Force will serve as the appeals committee for any Faculty member who wishes to contest the intention to be released under this policy. However, that committee will not be empowered to negate any decisions duly made by the Board of Regents, but it may examine the validity of the judgment, whether the criteria have been properly applied, and whether the requirements of this policy have otherwise been satisfied.

To initiate an appeal, a written notice of appeal must be filed with the chair of the Faculty Welfare Committee within 30 days after notification of termination clearly stating any and all bases of appeal. Thereafter, a hearing will be scheduled at a mutually convenient time, but held within thirty days of receipt of notification of appeal. Within one week after the hearing, the Committee will report its findings to the President. If it is believed that the judgment arrived at in applying the policy to the person appealing was invalid, that the criteria have been improperly applied, or if it finds that the requirements of this policy were not satisfied, the President shall submit the same to the Board of Regents as a formal request for reconsideration by the Board. The Board's decision shall be final.

## **3.6. FACULTY COMPENSATION**

### **3.6.1 SALARY SCHEDULES**

The salary schedules of all institutional employees shall be fixed by the Board of Regents on recommendation of the President of the institution. The salary schedules shall be established within the broad guidelines provided by the Board for University System<sup>51</sup>.

The Senior Vice President for Academics works with the University's Chief Financial Officer to approve Faculty salary scales and approve budget guidelines. The Senior Vice President for Academics establishes administrative stipends in consultation with the Academic Council and with the approval of the President. These stipends are paid in addition to the amount specified for the administrator in the published salary scale.

Compensation includes the base salary and benefits.

### **3.6.3 SUMMER TEACHING LOADS**

Faculty members are given the option of spreading out their 24 semester hour teaching load over the Summer Semester, the Fall Semester, and the Spring Semester.

### **3.6.4 COMPENSATION PAYMENTS**

Compensation payments are made on alternate Fridays for the previous two-week period ending at midnight of the previous Sunday.

All employees are encouraged to participate in payment through direct deposit to their bank account. Requests for paychecks to be mailed to designated addresses should be made in writing to the Payroll Office well in advance of payday.

Advances on salaries will only be made when recommended by the Senior Vice President for Academics and approved by the Director of Human Resources.

Applicable payroll deductions can be viewed on the Concordia Portal in the employees personal account, or, if paid by check, on the payroll check stub.

### **3.6.5 VACATION BENEFITS**

Full time Faculty members fall into two groups for the determination of vacation benefits. The University determines this on an annual basis for each fiscal year. The portion of overloads or other service for which the Faculty member is paid extra shall not be included in any vacation determination or benefits, as such overloads are not utilized to determine any vacation or other staff benefits.

Each Faculty member with a total administrative assignment of one-half time or more in one academic year is eligible for Benefit Group 2 as outlined below. Those full time Faculty members not eligible for Benefit Group 2 in one academic year shall be eligible for Benefit Group 1 as outlined below. Part time Faculty members shall not be eligible for any vacation benefits. A person joining the full time Faculty within a fiscal year shall receive all benefits prorated for the balance of the year.

The following Faculty assignments are not considered as administrative assignments:

- Classes taught.
- Serving on a University of college Faculty committee, or performing committee assignments, including service as officers of committees.

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<sup>51</sup> 2010 LCMS Handbook, Section 3.10.5.6.10 (a), (p. 179).

- Advising graduate or undergraduate students, including thesis and dissertation advisement.
- Directing interns.
- Supervising student teachers, DCE's, Deaconesses, other internships.
- Teaching independent study courses, ADP courses, Directed Study courses
- Advisor to extra-curricular, co-curricular organizations, SA organizations, or functions.
- Editorial assignments for publications
- Service as University marshal.
- Any type of leave granted, including sabbaticals, study leave, leaves of absence.
- College or University Faculty officer.
- Curator, archivist, coaching.

All other assignments shall be considered administrative assignments.

**a. Benefit Group 1**

No specific vacation days or benefits are accrued in this benefit group. The individual Faculty member, in attending to his/her teaching duties, will also manage to arrange appropriate time for vacation. No benefits shall be payable to this group at the end of a fiscal year or term of service should the member leave the Faculty, or terminate from the University for any reason.

**b. Benefit Group 2**

No specific vacation days or benefits are accrued in this benefit group. The individual Faculty member, in attending to his/her administrative duties, will also manage to arrange appropriate time for vacation. No benefits shall be payable to this group at the end of a fiscal year or term of service should the member leave the Faculty, or terminate from the University for any reason.

Vacation days and benefit days combined will be limited to a maximum of four weeks in a given fiscal year (July 1 through June 30).

### **3.6.6 SALARY PAYMENTS IN FACULTY TERMINATIONS**

Terminal pay for Faculty terminations will be made as follows:

- The University normally issues Faculty contracts for the regular University fiscal year, July 1 to June 30 of the following year. The University announces Faculty contract non-renewals six months in advance.
- Contracts broken by Faculty members during an academic year will result in salary termination on the last day of employment.
- Terminations announced preceding the beginning of a new fiscal year would result in no salary beyond the end of the fiscal year (June 30).
- Any other situations that may arise will need to be considered individually.

### **3.6.7 OUTSIDE EMPLOYMENT OF FULL-TIME FACULTY MEMBERS**

The University does not permit full-time Faculty members to engage in contractual arrangements with another educational institution without the written approval of the department chair, the college dean, and the Senior Vice President for Academics.

Faculty members shall not serve congregations as vacancy pastors, unless the responsibilities are greatly restricted and assurance is given that they will not interfere with University duties. Approval by the chair, dean, and Senior Vice President for Academics is required. No such approval is required for *ad hoc*, occasional activities such as pulpit supply, participating in special services, *et cetera*.

It is assumed that Faculty members will engage themselves in outside commitments in such a way that their prior commitments to the University can be carried out fully, and that they will remain readily available to students, for attendance at Faculty committee meetings, etc.

### **3.6.8 TUITION BENEFITS**

Faculty and staff members may qualify for [reduced tuition](#) for themselves and their family members. Contact the Human Resources Office for the current policy.

## **3.7. INSTRUCTIONAL PROGRAMS**

### **3.7.1 EXPECTATION OF FACULTY AND STUDENTS**

#### **3.7.1.1 STUDENT CLASS ATTENDANCE POLICY**

Each University student must develop personal responsibility, including class attendance. Regular class attendance enhances classroom dynamics, whereas students who miss class may deprive themselves of an integral portion of the course. Faculty may specify such attendance policies as they deem appropriate to support the objectives of a course and assist the student in developing this self-discipline. The course syllabus must include the attendance policy.

To permit the University to comply with federal Title IV regulations regarding the awarding of federal student aid, the Faculty member must be prepared to provide the Registrar and Student Services with the last date of academic attendance or the last date of attendance at an academically related activity.

#### **3.7.1.2 FACULTY ABSENCES**

In addition to class instruction and supervisory or other institutional duties, the University expects members of the Faculty to attend meetings of committees, conferences of learned societies, and other meetings, thereby causing occasional absences from classes.

This is the policy and procedure regarding Faculty absences.

- a. When a member of the teaching staff plans an absence, he/she consults with the department chair, and, if possible, arranges for a substitute instructor, assigns readings, or makes some other instructional arrangement for the class.
- b. If a member of the teaching staff plans to undertake major off-campus assignments that will require longer or repeated absences from class, he/she will consult in advance with the department chair, who will submit a recommendation to the appropriate dean. Faculty
- c. In case of illness or other unavoidable absences, the Faculty member will notify the department chair. Whenever a Faculty member misses a class session, he/she must inform the office of the Registrar, preferable before the time of the class meeting.

#### **3.7.1.3 FIELD TRIPS**



Because of the educational richness of the Chicago metropolitan area, Faculty members are encouraged to include meaningful field trips in the syllabi of regularly scheduled courses. These field trips will fall into two categories:

- regular: one-day or less with no overnight provision.
- extended: involving provision for at least one overnight.

Catalog descriptions of courses must indicate any field trips if extra cost is incurred by the student. Such field trips have the same attendance requirement as other classes.

If such field trips involve overnight absence, the Faculty member, and the participating students and any other personnel must comply with the University's travel policies, including the filing of all required forms in a timely basis.

Faculty members who schedule field trips as a part of a course must prepare a list of the field trip(s) with time(s) and a list of the students in the class who will be making the trip. The Faculty member must submit this information to the appropriate Faculty listserv at least ten days before the date of the field trip. In all cases, the Faculty member organizing a field trip should seek to avoid extensive loss of class time or work time for any one student or instruction time for any one regularly scheduled class.

Extended field trips should normally include a Friday or a Monday but should not require students to miss more than one day of class.

### **3.7.1.4 FACULTY OFFICE HOURS**

All full-time Faculty members shall make themselves available to students through the posting of regular office hours. Adjunct Faculty are to make available times known directly to the students in the classes taught. All Faculty are encouraged to provide information to students regarding accessibility (hours, phone, and email address) in the course syllabus. Each Faculty member should announce at least one office hour per week for each class taught. Where appropriate in addition to face-to-face office hours the Faculty member may also provide virtual student contact where feasible.

### **3.7.1.5 CLASSROOM REGULATIONS**

Faculty and students shall exert every effort to keep classrooms and laboratories neat and in good order.

Visitors may attend in classes and laboratory sessions only after an appropriate administrative office or the instructor grants permission. In the interest of safety, minor children should not be regular visitors in a classroom or laboratory. A class member must obtain special permission from the instructor to bring a child under occasional unusual circumstances.

The use of recording devices in the classroom touches on both the rights of students and the rights of instructors. If a student desires to tape a class session for himself or another class member, she/he will first request permission from the instructor, indicating the purpose of making the recording, and for whom. If the instructor agrees, the student is obligated to permit only use of the recording for the limited purpose requested. The student is otherwise subject to and responsible for compliance with all applicable copyright laws.

The instructor may deny the request based on her/his evaluation of the suitability of the class activity of the class activity for recording, the general validity of the request, or concerns for infringement on copyright. The instructor should communicate to the student the reason for the denial. Under no circumstances is a

student permitted to record and make commercial use of or copy or distribute such recordings made with the above permission.

### **3.7.1.6 RESPONSIBILITIES FOR FACULTY USE OF E-MAIL AND VOICEMAIL**

#### **BACKGROUND**

Every full time Concordia employee is provided an email box and a voicemail (also identified as PhoneMail®) box. In addition, many departments are also set up with departmental email boxes and voicemail boxes.

#### **POLICY**

Telephone, voicemail, and email systems are resources and tools provided by Concordia University Chicago for the facilitation of communication throughout the campus and with University constituents in order to conduct University business and provide good customer service. It is important to use these tools effectively to serve our constituents.

#### **STANDARDS AND GUIDELINES**

Every full time employee is expected to use their Concordia provided email and voicemail boxes

- check and respond to email and voicemail messages from University constituents (students, parents, friends, coworkers) in a timely manner (i.e. 24-36 hours would be optimal)
- have an appropriate voicemail greeting
  - Example: “You have reached (your name) in the (department) of Concordia University Chicago. I am not available to take your call right now, but your message is important to me. Please leave your name and number with a brief message (that will help me to handle your request or to reply more quickly, etc.).”
- change their voicemail greeting when they will not be available and will not be checking their voicemail regularly.
  - Example: “You have reached (your name) in the (department) of Concordia University Chicago. I am out of the office from mm/dd/yyyy until mm/dd/yyyy and will not be checking my voicemail during this time. I return to the office on mm/dd/yyyy.”
- set their email away message when they will not be available and will not be checking their email regularly.
  - Example: (similar to above)
- keep their voicemail boxes from becoming full and unable to accept messages
- keep their email boxes from becoming full and unable to accept messages

#### **PROCEDURES**

- voicemail can be accessed from off campus by dialing 708-209-3198
- email can be accessed from any internet connected web browser by <http://connect.cuchicago.edu>
- the voicemail system can “outdial” you when voicemail has been received, letting you know that voicemail has arrived and giving you the option to listen to it. Contact Mary Reimer [(708) 209-3047] for instructions on how to do this.
- The Concordia telephone system can be set to forward your calls to another number of your choosing. Keep in mind that if you choose to do this, you still have all of the responsibilities listed above. Contact Mary Reimer for instructions on how to do this.

## COMPLIANCE

- Compliance with this policy will be included in the annual reviews done for employees.

### **3.7.1.7 CHAPEL PERIOD**

All Faculty, regardless of their background, are encouraged to make daily chapel a regular part of their Concordia experience. The Chaplain is also available to all for confidential pastoral care and counseling. Because daily chapel is an integral part of fulfilling Concordia's mission, Faculty and staff members should not normally schedule classes, extra-curricular activities, and meetings during chapel.

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## **3.7.2 TEXTBOOKS AND CLASS MATERIALS**

### **3.7.2.1 ADOPTION OF TEXTBOOKS**

Instructors are expected to comply with the University Bookstore's deadlines for the adoption of textbooks. The Faculty member is required to provide the campus bookstore with a current list of all textbooks and other required commercially available materials in a timely manner so they can be available for purchase in the bookstore.

### **3.7.2.2 SALE OF CLASS MATERIALS**

For Faculty who want to use their own materials, where there would be royalty fees, the appropriate dean will review the situation.

### **3.7.2.3 TECHNOLOGY, PRINTING, OTHER MEDIA SERVICES**

For more information on any of these offices, visit the Technology Resources channel on the Resources tab of Concordia Connect (<http://Connect.CUChicago.edu>)

#### **Technology Services**

##### *Information Technology*

2<sup>nd</sup> Floor, Klinck Memorial Library  
708-209-3131  
[CougarNet@CUChicago.edu](mailto:CougarNet@CUChicago.edu)

Our information technology group, CougarNet, provides the campus community with technical support services, specialized training opportunities, and modern technologies to aid, develop, and improve academic and extracurricular activities in a variety of environments. This group will assist with all of your technology needs including computer hardware, network access, file storage, email access, and Blackboard usage.

##### *ID Card Services*

2<sup>nd</sup> Floor, Klinck Memorial Library  
708-209-3047

Your University ID card identifies you as a member of the Concordia community, serves as your meal ticket if you purchase a meal plan with Sodexo Campus Services, functions as your library card, and can be used with our “cash-to-card” machines to make purchases at vending machines across campus.

#### *Telecomm*

2<sup>nd</sup> Floor, Klinck Memorial Library  
708-209-3047  
[Phone@CUChicago.edu](mailto:Phone@CUChicago.edu)

The Telecommunications Office will assist with any problems or questions you may have related to your campus telephone, the voicemail system, your authorization code for off-campus dialing, or department telephone bills.

### **Media Services**

2<sup>nd</sup> Floor, Klinck Memorial Library  
708-209-3131  
[CougarNet@CUChicago.edu](mailto:CougarNet@CUChicago.edu)

Media Services provides and supports education media resources on campus and for off-campus classes and events. This group will deliver requested media to your classroom for your courses or conference rooms for meetings, or you can pick up scheduled equipment from them for off-campus educational use.

### **Print Services**

2<sup>nd</sup> Floor, Klinck Memorial Library  
708-209-3331  
[Print.Services@CUChicago.edu](mailto:Print.Services@CUChicago.edu)

Print Services provides and supports the campus printing devices including centrally-located, high-speed printers, copy machines, folding machines, and color printers and copiers, as well as distributed laser printers and digital copiers throughout the campus.

The Print Services office, located at the CougarNet Help Desk on the 2<sup>nd</sup> floor of the Klinck Memorial Library, offers centralized duplicating services with high speed copying and printing for large jobs, as well as color copying and advanced print job options. Instructors may drop off copy requests or send them via email to [Print.Services@CUChicago.edu](mailto:Print.Services@CUChicago.edu). All work requests submitted to Print Services must include a valid account number or payment in cash.

## **3.7.2.4 TABLET POLICY**

### **3.7.2.4.1 BACKGROUND**

Tablet computers are increasing rapidly in popularity because of their portability, functionality, and low cost.

Some University employees can be more productive in their job responsibilities if they have a tablet computer.

Tablet computers are inherently personal devices, configured and equipped to match the individual desires of the person for both personal and work use.

#### **3.7.2.4.2 POLICY**

Tablet computers will be owned by the individual

All software and accessory devices acquired for the tablet computer will be owned by the individual.

Any broadband cellular services related to the tablet are the responsibility of the individual.

Maintenance of the tablet hardware and software is the responsibility of the individual.

Loss or theft is the responsibility of the individual and must be reported to CougarNet as soon as possible.

The University may assist employees in the acquisition of the tablet computer by providing onetime stipend of \$300. The stipend program has the following requirements:

- The employee must have specific job responsibilities that directly relate to the portability and/or functionality of the tablet.
- The employee must purchase from a list of recommended tablet computers
- Departmental funds will be used for the stipend.

All tablet computers must be operated under the University BYOD policies.

The program may be discontinued at any time.

The University will provide a reasonable level of instructional design support from the Instructional Design Team and technical support from the Help Desk related to the use and operation of the tablet.

### **3.7.3 EVALUATION AND GRADING**

#### **3.7.3.1 GENERAL PRINCIPLES FOR EVALUATION AND GRADING**

- a. The general pattern of grades given by an instructor is of significance to the institution because the institution bases a number of important actions upon those grades (graduation, scholarships, honors awards, academic probation, refusal to re-register, etc.). An undergraduate student must earn an average of 2 quality points for every semester hour credit required in her/his program toward graduation. (Exceptions are student teaching, practicum, and a “P” in pass/fail courses.)
- b. While the University assigns a course grade, it does so through the instructor of the course. The University must show proper respect for the judgment of the instructor to whom it has assigned the course. In assigning a grade, the instructor assumes full responsibility for this action.
- c. A number of factors make a rigid and inflexible grading system unworkable. Some facts that must be kept in mind are course level, course size, and student ability.
- d. Faculty members should grade students on the quality of their work, not the quantity. The Faculty member is the judge of the quality of the work submitted.

- e. Because of a combination of these and similar factors, it may happen that an instructor's grade distribution may deviate significantly on occasion from the general pattern of the University or department, but the instructor should be able to explain any major deviation from these institutional averages.

### **3.7.3.2 GRADING PATTERNS**

- a. All Faculty members should periodically re-examine their standards of evaluation as reflected in their grading practices to justify those criteria and practices.
- b. Different instructors who teach sections of the same courses should attempt to effect similar grading patterns.
- c. Department members should practice professional peer discussion of their grading practices.
- d. Department chairs, college deans, and the Senior Vice President for Academics are expected to exercise their appropriate supervision of instruction function by consulting with Faculty members whose grading patterns appear to be unusual or excessive in any direction.
- e. After the office of the Registrar has issued grades and recorded credits, the typical basis for changing the grade is computational or clerical error. In such cases and others deemed legitimate, the department chair and the Senior Vice President for Academics must give approval before the records are changed. A form to expedite this procedure is available in the Registrar's office. A Faculty member has the exclusive responsibility for making and changing a grade, except in the case where the Honor Code Council has made a determination that supports a change.

### **3.7.3.3 FINAL EXAMINATIONS**

One week is set aside each semester for final examinations for all undergraduate courses. Each instructor shall give an examination or an appropriate culminating activity during the scheduled final examination period.

The Registrar sets the schedule of final examinations before the semester begins. It may vary from semester to semester. It is expected that **all examinations will be held in accordance with the schedule.** The Office of the Registrar must approve any changes in the scheduled exam time. The Dean of Students (in consultation with the Faculty member involved) must approve all student requests for permission to take exams at a different time.

### **3.7.3.4 PASS/D/F OPTION**

This policy applies only to undergraduate students.

- a. General Considerations.
  - 1. A grade of C- or better is equated with Pass for students graded on the Pass/Fail option.
  - 2. A grade of Pass is not included in the student's grade point average. A grade of D/F (Fail) will be computed in the cumulative GPA.
  - 3. Individual colleges may establish limitations on Pass/D/F.

4. The Office of the Registrar will notify the chair of each department concerning the following:
  - Which courses in his/her department were selected by students for the pass/D/F option.
  - How many students in each of these courses registered for the pass/D/F option.
- b. Pass/D/F Option – Student Initiated.
  1. The student may choose to be graded on a Pass/D/F basis up to 4 hours in any one given semester with a maximum of 16 hours in the total program (not including student teaching or other courses where Pass/D/F is initiated by the University).
  2. The student must carry an academic load of at least 12 hours at Concordia during any semester in which the Pass/D/F course is elected.
  3. The student must file the intention to be graded on a Pass/D/F basis with the Registrar on or before the twentieth class day of the term. The choice may not be altered after that time. These time limits are reduced proportionately in any term where the structure is changed, such as the summer session.

The instructor will not be informed of the student's choice to be graded on a Pass/D/F basis.
- c. Pass/D/F Option – Instructor Initiated.
  1. If an instructor wishes to use the Pass/D/F option for a particular course for one semester, he or she shall prepare a statement of rationale for its use which must be approved by the department chair and the dean. Such rationale shall include a description of the intended means of evaluation of the student performance in the course (with the assumption that the instructor is not bound to traditional evaluation methods).
  2. If an instructor wishes to use the Pass/D/F option for a particular course for more than one semester, he or she shall prepare a statement of rationale that must be approved by the department chair and the dean, to conduct a trial period of up to two years during which time the course is graded mandatory Pass/D/F. Such rationale shall include the information described in 3a, as well as a clear indication of the intended means of evaluation of the merits of the Pass/D/F system for that particular course. This evaluation shall be communicated to the department chair and the college dean.
  3. To obtain permanent approval of the Pass/D/F option for a particular course, the instructor must obtain the approval of the department chair and the college dean to conduct a trial period of up to two years, during which time the course is graded mandatory Pass/D/F. After the trial period is completed, the instructor must obtain the approval of the appropriate policies committee to assign a permanent Pass/D/F grading basis for that course. The request for this approval must be accompanied by the instructor's evaluation of the relevance and success of the Pass/D/F system for course as determined from the information gathered during the trial period.
  4. Every student enrolled in such a course is graded only according to the Pass/D/F system.
  5. Instructor-initiated Pass/D/F courses are so designated in the class schedule as to guide students and their advisors in registration.

6. A student who enrolls in an instructor-initiated Pass/D/F course has this course counted as part of the 16 semester hours of Pass/D/F credit allowed in the total course of study.
7. The instructor-initiated Pass/D/F option may be applied to any course (with approval as outlined above).

### **3.7.3.5 INCOMPLETES AND WITHDRAWALS**

A grade of “incomplete” is awarded by an instructor when, because of circumstances beyond the control of the student, e.g., illness, death in the family, the student needs more time to complete the course with the greatest possible achievement. The request for a grade of incomplete must be student initiated. The instructor determines approval of the incomplete. A grade of “I” must be resolved within six weeks from the end of the term (Fall, Spring, Summer) in which the grade was received. At that time, the instructor will assign a grade. Permission for additional time beyond the 6-week deadline for resolving an “incomplete” may be granted only with the approval of the instructor and the Registrar. Whether or not the student is enrolled during the following term has no effect upon this completion date.

The following procedures apply in the event of withdrawal from a class (time limits are quoted for a standard 15-week semester and are adjusted accordingly for other time spans):

- a. First class day of the semester through the eleventh week of the semester, a student may withdraw from a course by reporting this change to the Registrar.
- c. The Dean of Students must approve all requests for a “W” after the twelfth week of the semester, and this is acceptable only in extraordinary circumstances.
- d. Unauthorized withdrawals result in the grade of “F.”

## **3.7.4 REGISTRATION AND COURSE CREDIT**

### **3.7.4.1 DEFINITION OF FULL-TIME STUDENT**

A student is a full-time undergraduate student of Concordia University if he or she is registered for 12 or more credit hours in a semester. A student who drops below 12 credit hours in a semester before census is a part-time student for that semester. (Status is determined on a semester basis on the census date for that semester).

Various governmental agencies may utilize other definitions for their purposes.

A student is considered a full-time graduate student of Concordia University if he or she is registered for 6 or more credit hours in a semester. A student who drops below 6 hours in a semester prior to census is considered a part-time student for that semester. (Status is determined on a semester basis on the census date for that semester).

### **3.7.4.2 REPEAT OF A COURSE**

A student may repeat any course, in which case only the grade and credit hours for the last attempt are used in computing grade point average, quality points, and credit. However, the transcript includes all attempts and grades.

### **3.7.4.3 QUALITY POINTS**



Concordia assigns Quality Points as follows:

For each term hour of	A	4.00
	A-	3.67
	B+	3.33
	B	3.00
	B-	2.67
	C+	2.33
	C	2.00
	C-	1.67
	D+	1.33
	D	1.00
	D-	0.67
	F	0.00

By the end of the semester previous to the one in which she/he expects to graduate, the student must have quality points equivalent to a “C” average in courses taken at Concordia University.

#### **3.7.4.4 DEAN’S LIST**

At the end of each semester, each undergraduate college dean adopts and publishes the names of those students who have attained the Dean’s List. The Dean’s List is composed of those degree-seeking students who have achieved a grade point average of 3.625 or better in not less than twelve GPA semester hours taken at the University during any one semester.

#### **3.7.4.5 ACADEMIC OVERLOADS AND REDUCED LOADS**

A normal academic load for a full-time undergraduate student is 12-18 hours per semester. Undergraduate students with an academic grade point average of 3.00 or better in courses taken at the University may carry up to 3 hours additional credit in a given semester after making appropriate arrangements in the Registrar’s office.

Students with an academic grade-point average of 2.75-2.99 but whose average during the previous semester was 3.00 or better (in courses taken at the University) may carry up to 3 semester hours additional credit in a given semester after receiving written permission from the advisor and after making appropriate arrangements in the Registrar’s office.

If a student is not eligible according to her/his academic grade-point average but wishes to take an overload, she/he must receive permission from his/her advisor and the Dean of Students.

The Dean of Students must grant permission to carry a reduced load.

#### **3.7.4.6 CREDIT FOR PRIOR LEARNING**

Students may apply for college credit by submitting appropriate documentation of prior learning. Each college will determine the procedures for awarding credit and limits on the account of credit for prior learning. Departments will determine the specific documentation required for assessment of prior learning and the credit to be given.

The University will use the following standards in assessing prior learning (developed by the Council for Adult and Experimental Learning).

- Credit should be awarded only for learning, not for experience.
- College credit should be awarded only for college-level learning.
- Appropriate subject matter and academic experts must make the determination of competence levels and of credit awards.
- Credit should be appropriate to the academic context in which it is accepted.

### **3.7.4.7 INDEPENDENT STUDY**

#### **a. Background.**

The University seeks to provide sufficient flexibility so that students can select courses appropriate to their achievement level and special interest. The programs also include opportunities for enrichment and acceleration.

#### **b. Objectives.**

Independent study will provide the student with the opportunity:

1. to develop ability to pursue a research or study program on an independent basis.
2. to gain the satisfaction of penetrating a field of special interest with minimal guidance.
3. to enrich a program of specialization with experience not offered in established courses.

#### **c. Essentials of Independent Study.**

1. It provides opportunity for academic study and research at the undergraduate or graduate levels.
2. The topics will ordinarily be an extension of one segment of a college curriculum and will be appropriate to the objectives of a given department.
3. A course in the curriculum may not be offered by independent study; nor can independent study duplicate the content of an established course.
4. Independent study will ordinarily be done in the student's area of specialization after completion of a number of courses in the discipline.

#### **d. Eligibility for Independent Study.**

- 1 Undergraduate students must be registered for 12 semester hours of credit (6 semester hours in the summer session). Graduate students must have been accepted into a degree program.
- 2 The student can be enrolled in only one independent study at a time.
- 3 The student, working with the assigned Faculty member, will submit a proposal that includes the following:
  - Title of Study.
  - Objectives.
  - Rationale.
  - Outline.
  - Basic Resources.

- Tentative Time Schedule.

The following statements concerning independent study are in effect:

Independent study is available in all departments. A student may enroll for one to six hours of independent study credit at any one time in a single subject area. The course begins and ends with a specific academic semester. There is no limit upon the number of credits a student may earn through independent study, but only 6 hours may be applied to a graduate program. A student can earn no more than 6 hours in a single subject area.

Grading procedures and policies concerning “incompletes” also apply to independent study courses.

A student must apply for independent study through the department chair and file the application with the Registrar and Senior Vice President for Academics before the beginning of the semester in which the course is taken.

### **3.7.5 ADMISSION POLICIES**

#### **3.7.5.1 DEGREE PROGRAM DEFINITION**

Concordia offers the Bachelor of Arts degree, the Bachelor of Science degree, or the Bachelor of Music Education degree at the completion of baccalaureate programs. In addition, the Master of Arts degree, the Doctor of Education degree, and the Doctor of Philosophy degree are offered at the post baccalaureate level.

#### **3.7.5.2 ADMISSION TO THE UNIVERSITY**

Admission to the University for undergraduates is dependent upon meeting the entrance requirements published in the *Undergraduate Bulletin*. Concordia admits a limited number of students to the University under the stated criteria on a provisional basis in the College Skills Program.

#### **3.7.5.3 ADMISSION TO ADVANCED UNDERGRADUATE STATUS**

The University admits students to most of the University’s advanced programs without formal application based on the maintenance of a satisfactory academic record as stipulated in the *Undergraduate Bulletin*, under the heading “Academic Status.” Admission to professional teacher education programs and the deaconess program requires certain curricular prerequisites, formal admission application, and committee review as stated in the *Undergraduate Bulletin*.

#### **3.7.5.4 ADMISSION TO PLACEMENT**

Concordia maintains a career counseling and placement service as an integral part of its program.

##### **a. Synodical Placement.**

1. The candidate registers his/her intention and desire for Synodical placement with the placement office at least one full semester before the semester in which he or she anticipates graduation. The candidate completes the appropriate placement application forms and declares his/her personal and professional readiness and intent for ministry.
2. A Synodical Placement Approval Committee reviews each candidate.
  - The Synodical Placement Approval Committee is comprised of five (5) voting members. They are the director of educational/Synodical placement (chair), the Dean

of Students and three (3) members elected from the Faculty, each serving a three (3) year term. The director of field experiences, assistant to the director of field experiences, director of the DCE program, director of the deaconess program, and any other Faculty/staff member that is deemed appropriate by the chair in a given situation shall serve as a resource person to the committee.

- Prior to the meeting of the Synodical Placement Approval Committee, the candidate is required to have the written support of three (3) Faculty members recommending him/her for placement into the teaching or deaconess ministry, one of whom is to be the University supervisor of student teaching, practicum, or internship supervisor. Such recommendations are to include the Faculty member's perception of the candidate's strengths and weaknesses, and recommendations and comments concerning specific placement.
- Additional information regarding the candidate for use by Synodical Placement Approval Committee may be requested from the student services office.
- Action of the Synodical Placement Approval Committee regarding each individual candidate includes one of the following:
  - Approval for Synodical placement.
  - Denial of approval for Synodical placement.
  - Referral for counseling with the director of educational/Synodical placement, Dean of Students, or other specified referral sources. The Committee will review the candidate again following such counseling.
  - The list of prospective candidates is sent to each Faculty member prior to the quarterly Synodical Placement Approval Committee meeting. Any Faculty member, by consulting with the director of educational/Synodical placement, may raise questions or concerns concerning the candidates' eligibility for placement.
  - The Synodical Placement Approval Committee has the authority to change its decision upon receipt of additional information.

#### b. Non-Synodical Teacher Placement

A credential file is maintained in the Educational Placement Office for one year following the completion of the program. The file contains the following items:

1. Forms with basic information about career objectives, academic preparation, earned degrees, professional work experience, and related information.
2. Reports of student teaching or practicum by college supervisor and cooperating teacher.
3. Letters of recommendation as solicited by the candidate.

The candidate may choose to have items added to or deleted from the credential file. Prospective employers have access to the credential file upon the request and written permission the student.

### **3.7.5.5 GOALS OF GENERAL STUDIES**

The purpose of General Studies in the undergraduate curriculum at Concordia University is presented in the *Undergraduate Catalog*.

### **3.7.6 LIBRARY AND MEDIA SERVICES**

### **3.7.6.1 REGULATIONS**

Library and media services regulations procedures are included in both the undergraduate and graduate student handbooks. In general, these apply to Faculty and students alike. An exception is that general collection books circulate to Faculty for 12 weeks, although the regular loan period is three weeks. Reference books may be checked out near closing time with return due within an hour of opening the following day. A librarian can approve a request for Faculty to have a slightly longer loan.

### **3.7.6.2 RESERVE COLLECTION**

A Faculty member can request the library to place materials on restricted circulation of “Two Hour,” “One Day,” or “One Week.” Items that will be used heavily are placed on reserve to assure availability and reduce loss. Items that do not receive frequent use normally are not placed on “reserve” when the course is offered again.

The Faculty member who places an item on reserve may request that it be removed or that an exception should be made for a specific student. A Faculty member borrowing a reserve book placed on reserve by someone else is limited to the same use as students. Guidelines and policies involving copyright laws are available at the library and will be sent upon request.

### **3.7.6.3 MATERIAL SELECTION**

The selection of resources is a joint venture between the librarians and other members of the Faculty. Librarians use Faculty recommendations, selective bibliographies, professional reviews, their knowledge of the collection, and user demand and anticipated demand for select items. Each academic department should establish a procedure so that it submits recommendations for books, periodicals, and audiovisual resources on a regular basis. Recommendations should note the priority for each item: A. essential, B. important, C. purchase if funding permits. If an item is needed for a specific course and time, the course number and date required should be noted. The library staff will inform those requesting materials when items are available for use.

### **3.7.6.4 REFERENCE SERVICES AND INSTRUCTION**

The library and media staff provides reference assistance to students and members of the Faculty in identifying, locating, and using information and library and audiovisual resources. Faculty members are encouraged to include library and media skills units in their courses and to use librarians and media specialists in teaching these skills. Please contact the reference librarians for in-class library instruction.

### **3.7.6.5 ELECTRONIC CATALOGS AND DATABASES**

- The library’s home page < [www.cuchicago.edu/academics/library/](http://www.cuchicago.edu/academics/library/) > provides links to a variety of local information sources and remote sites.
- Familiarity with these information retrieval systems is important for all Faculty and students. Reference librarians are available to assist in the use of these resources or to instruct Faculty and students in library research, database searching, or Internet usage.

### **3.7.6.6 AUDIO VISUAL SERVICES (COUGARNET)**

- Audio Visual Services normally selects, catalogs, houses, distributes, and maintains audio visual materials and equipment.

- Submit all requests for rentals and purchases of audio visual materials and equipment to the Audio Visual office.
- Submit requests to schedule audiovisual materials and equipment, public address systems, and theatrical lighting to the Audiovisual Office.
- Schedule requests for television, audio, and photo production services directly with the Television Office.
- The CougarNet office produces transparencies. To provide efficient and adequate service of AV equipment and materials, place orders for routine use 24 hours before use.
- For special events and activities that require unusual setups and/or equipment, place orders at least three days in advance. Allow at least a week lead-time for most events or activities that require audio, video, or photo production.

### **3.7.6.7 CLIC (CURRICULUM LIBRARY AND IDEA CENTER)**

Materials housed in CLIC (early childhood, elementary, and secondary curriculum materials) are available for class or personal use. Normally these are due after two weeks. Faculty can schedule class use of the CLIC area by contacting CLIC personnel in the CougarNet office.

## **3.7.7 CORRESPONDENCE STUDY**

### **3.7.7.1 INSTRUCTION**

#### **a. Course Offerings.**

Ordinarily, the courses available by correspondence study are already offered in the residential undergraduate program. Approval for credit courses offered only by correspondence study follows the procedures established for residential courses.

The academic departments review their respective correspondence study course offerings periodically.

They make appropriate recommendations to the director of correspondence study concerning the addition, revision, or withdrawal of courses in the program. The Dean of the College of Graduate & Innovative Programs gives final approval regarding course in consultation with the appropriate department chair.

#### **b. Course Construction.**

The determination of course content is primarily the responsibility of the department offering the course.

The scope, depth, requirements, and anticipated outcomes of a correspondence study course are comparable to the equivalent course taught in residence.

The Dean of the College of Graduate & Innovative Programs and the chair of the appropriate department approve a course syllabus before including it in the correspondence study offerings.

#### **c. Staff.**

The Dean of the College of Graduate & Innovative Programs appoints writers and instructors of correspondence study courses upon recommendation of the chair of the department offering the

course. Appointments to instructorships are for renewable terms. The Senior Vice President for Academics approves appointments of writers and instructors who are not members of the Faculty.

c. Compensation.

The amount of compensation for the writing of a correspondence study course and for the evaluation of student assignments is established by the Board of Regents upon the recommendation of the Senior Vice President for Academics in consultation with the deans.

### **3.7.7.2 FEE STRUCTURE**

The Board of Regents establishes registration, tuition, and all other fees, as well as policies governing tuition refunds, upon recommendation of the President (who consults with the President's Cabinet).

### **3.7.7.3 STUDENT SERVICES**

The Concordia Bookstore stocks all required textbooks and instructional materials.

Students enrolled in correspondence study may use the library loan service. The librarian in consultation with the Dean of the College of Graduate & Innovative Programs establishes specific procedures governing this service.

## **3.7.8 CONTINUING EDUCATION**

### **3.7.8.1 PROGRAM OFFERINGS**

The College of Graduate and Innovative Programs works with the other colleges and academic departments to serve the educational needs of persons in the local and church community who desire professional development, technical expertise, cultural understanding, and personal enrichment. Offerings include credit and non-credit workshops, conferences, seminars, tours, and the like.

### **3.7.8.2 PROCEDURES FOR CONFERENCE PLANNING**

Procedures for scheduling workshops, conferences, seminars, and other such programs:

- a. The interested party requests a copy of "Guidelines for Sponsors of Workshops, Conferences, and Seminars" from the College of Graduate & Innovative Programs. Policies and procedures for co-sponsoring an event with the Graduate & Innovative Programs College are included in that document.
- b. After reading the "Guidelines" and determining that the College of Graduate & Innovative Programs should co-sponsor an event (see definitions and criteria on page 2 of "Guidelines"), and reviewing the section on departmental and college responsibilities, the event originator should submit in writing to the dean a request for services desired.
- c. The request originator should then arrange a meeting with the dean to discuss specifics of the event and timeline (See "Conference/Workshop Planning List" in "Guidelines").
- d. When the dean, event originator, and appropriate department chair have agreed that the event will be co-sponsored, the dean will prepare a budget, and the department will supply program content for preparation of promotional materials. The dean and event originator will work together until the event has been completed and evaluations have been reviewed.

- e. Planning, coordinating, and refining of the program is the responsibility of the sponsoring department; the physical arrangements, promotion, and all financial aspects of the event are the responsibility of the Dean of the College of Graduate & Innovative Programs. (For more information on responsibilities see “Guidelines”.)

### **3.7.9 BUDGETARY PROCEDURES**

Concordia University operates on an annual budget that coincides with the fiscal year July 1 through June 30.

In the last meeting of each fiscal year, the Board of Regents receives a proposed budget for the forthcoming fiscal period. The budget includes all administrative, instructional, and operations activities of an educational and general nature as well as those pertaining to the auxiliary enterprises.

Faculty members should submit proposed instructional expenditures to the department chair or college dean. The department chairs and college deans will in turn submit to the Senior Vice President for Academics their budget suggestions for the respective department or college, and the Senior Vice President for Academics will coordinate these with the entire instructional program for inclusion in the budget as funds are available. The Board of Regents approves the budget for the forthcoming fiscal period. The administration then makes adjustments to ensure that the budget is balanced.

Budget Control Officers receive their budgets after the Board of Regents and the administration have finalized the budget. The Accounting Office issues monthly electronic reports for all budget units.

### **3.7.10 ACADEMIC FUNCTIONS**

The University expects all full-time members of the Faculty to attend all academic functions. Faculty members are to submit excuses from events in which the Faculty participates as a body to the Senior Vice President for Academics, and whenever possible, notification of such non-participation should be at least two weeks before the event. Adjunct Faculty who serve the University on a regular basis are invited but not obligated to participate in these academic functions.

### **3.7.11 ACADEMIC APPAREL**

Faculty personnel are required to provide their own academic apparel. Arrangements for rental or purchase of academic apparel may be made directly with the bookstore as directed by the University Marshal.

### **3.7.12 SPEAKERS FOR ACADEMIC OCCASIONS**

The President must approve speakers for all major occasions (such as commencement) before the invitation is issued.

### **3.7.13 ON-LINE COURSES**

Policies in this *Handbook* apply to all courses regardless of the mode of delivery.

## **3.8. STUDENT LIFE AND ACTIVITIES**

### **3.8.1 FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT (FERPA)**



As required by Federal Law, the Board of Regents adopted the University institutional policy regarding “The Family Educational Rights and Privacy Act of 1974 as amended” [FERPA} on January 27, 1977. Several issues contained in this Act affect both the University as institution and individual Faculty members. All Faculty members must familiarize themselves with the official university procedures regarding this Act. Faculty member rights and constraints are also contained in this section of the manual.

Click here to review the [FERPA Policy](#).

## **3.8.2 POLICIES ON STUDENT ORGANIZATIONS**

### **3.8.2.1 OBJECTIVES OF THE CO-CURRICULAR PROGRAM**

Recognizing that the full and proper development of a Christian student includes more than formal academic training, Concordia University provides a co-curricular program with the following objectives:

- a. Acquisition by the participants of additional information about themselves, the Church, and the world, and their relation to God and to each other, which will supplement the academic program.
- b. Stimulation toward the fuller expression of the Christian faith in acts of service in both university and community life.
- c. A supplementary development of skills and of involvement in experiences that will increase their competence as leaders in the Church and the world.

### **3.8.2.2 THE FUNCTION OF THE DEPARTMENT IN THE CO-CURRICULAR PROGRAM**

- a. To apply the general objectives to its area of educational responsibility.
- b. To review the program and activities of the co-curricular organizations which deal with its subject matter interests and responsibilities.
- c. To review the organizations under its jurisdiction, and to make recommendations regarding its organizations in the following areas:
  - Cancellation, addition, or change in function or organizations.
  - Financial needs of organizations.

Note: Co-curricular activities may often benefit the University in such areas as public relations and recruitment. Such auxiliary outcomes, however, are not the primary functions of the co-curricular activities. The educational purpose of co-curricular activities must be kept in the forefront.

### **3.8.2.3 ORGANIZATION OF CO-CURRICULAR GROUPS**

- a. Persons desiring to form co-curricular group at the University file their intentions with the chair of the respective academic department.
- b. The appropriate academic department studies the nature and purposes of the proposed organization. After evaluation, the department decides whether to endorse the proposed organization.
- c. If endorsed, the chair of the department notifies the office of the appropriate dean concerning the new organization.

- d. If the dean and the Senior Vice President for Academics concur, the President may bring the request to the Board of Regents for potential approval.

Each proposed co-curricular group has an advisor appointed by the department chair. The advisor helps in the organization of the group and assists in guiding its program.

### **3.8.2.4 FACULTY DIRECTED GROUPS**

- a. All Faculty directed organizations schedule off-campus programs in the regular way with the Office of Marketing Communications and register them on the University calendar.

- b. Choral Groups:

- *The Schola Cantorum*: Off-campus services in local churches and other activities appropriate to the objectives of the co-curricular music program: a maximum of 4 class absences may be allowed per member per year.
- *The Kapelle*: Concert Tour: There may be a maximum of 5 days class absences per year for this purpose. Other appropriate activities (such as service clubs, conferences, rallies, broadcasting, recording, etc.): a total of no more than 4 class period absences per member.
- *Other Vocal Ensembles* will not ordinarily perform off-campus. However, occasional performances may be scheduled off-campus with the approval of the chair of the Music Department and the Dean of Students.

- c. Instrumental Groups:

All instrumental groups: appearances in churches and at high schools for music festivals and local concerts, involving from 0 to 4 class absences per function. A maximum of two such appearances per year.

*The Wind Symphony*: Concert Tour: There may be a maximum of 5 days class absences per year for this purpose. Other appropriate activities (such as service clubs, conferences, rallies, broadcasting, recording, etc.): a total of no more than 4 class period absences per member.

- d. Dramatic Groups:

The on-campus program of the dramatic group includes major 3-act plays of which 3 per year may be given, and 1-act plays, of which 4 per year may be given.

Up to 2 days of class absences per year may be used for off-campus performances.

### **3.8.3 SCHEDULING OF EVENTS**

- a. Calendar of Events.

1. The Calendar of Events is an official calendar of the University supplementing the Academic Calendar adopted by the Board of Regents. The purpose of the Calendar of Events is to provide an orderly schedule of co-curricular activities on and off campus, so that student organizations can carry out their programs with efficiency and with due regard for other University functions.

The Calendar of Events consists of two parts: a) the calendar for the academic year, which includes all events, meetings, concerts, etc., compiled in advance; b) the daily calendar which is a record of events, meetings, concerts, etc., occurring each day.

2. The director of campus events maintains the Calendar of Events.
  3. Before the close of the academic year, the Calendar of events for the succeeding academic year is prepared. Faculty advisors and student officers of all organizations on the campus are asked to submit their requests in writing for space on the calendar and to discuss possible conflicts. The calendar is prepared and distributed at the beginning of each new academic year, together with regulations for scheduling.
- b. **Publicity and Information for Events.**
- The Director of Communications must approve and issue all publicity information and releases that go off campus.
- c. **Scheduling of Physical Facilities on the Campus.**
1. For availability of physical facilities on the campus, campus groups normally have the preference over outside organizations.
  2. The event organizer must consult with the individual responsible for the assignment of the facilities that will be used. Difficulties and problems which may arise are referred to the operations manager or other appropriate administrators.
  3. Individuals or groups cannot use equipment without permission from the authorized custodians of such equipment.
  4. Individuals using equipment are responsible for possible damages of such equipment while they have authorization to use the equipment.
  5. The Office of the Registrar schedules all classroom facilities, regardless of the intended use. A list of rooms is available for inspection in the Registrar's office. The Director of the Koehneke Community Center schedules all other facilities unless assigned to another administrator.

### **3.8.3.1 GUIDELINES FOR EXTENDED TRAVEL COURSES**

The University supports and encourages educational courses that involve extended travel as part of the student experience. Such courses must have an educational component that relates to the mission and purpose of the University.

In keeping with this philosophy, the University may sponsor extended travel courses. Students must take these courses for credit. As space permits, others in the broad community the University serves may participate in the course either on a credit or non-credit basis.

The appropriate department, policies committee in each college must approve extended travel courses.

Although students may register for independent study courses while on extended study travel, the University shall not approve a tour/trip if independent study is the student's sole educational experience.

### **3.8.3.2 EXTENDED TRAVEL APPROVAL PROCESS**

General requirements:

- a. The appropriate department, policies committee, and Board of Regents must approve extended study courses, following the format and timetable that applies to all other course offerings.
- b. The Director for the Center for Global Outreach processes and monitors extended travel courses.
- c. The Director for the Center for Global Outreach endorses the financial plan for offering an extended travel course and the Vice President for Finance and the Senior Vice President for Academics grant final financial approval.
- d. The Purchasing Office makes course travel and land arrangements.

Approval process:

a. Academic Endorsement.

1. At least one year before the anticipated course the instructor shall submit in writing to the appropriate college policies committee:
  - A rationale for the course/tour which includes the why, when, and who as it applies to the course.

An itinerary and time schedule of places to be visited.

2. The policies committee will determine the viability of the extended study trip and approve or disapprove it, based on its fulfillment of the academic philosophy, mission, and standards of Concordia University.

b. Organizational Phase.

1. Upon approval from the policies committee, the instructor will organize the trip in conjunction with the Center for Global Outreach.
2. Based upon the approved specifications and itinerary, the Center for Global Outreach will attempt to obtain a minimum of three bids from travel agencies in conjunction with the Director of Purchasing.
3. After bids are received, the instructor and the Director for the Center for Global Outreach will develop a budget for the course that will include credit and non-credit options.

c. Administrative Approval.

1. The Director for the Center for Global Outreach will submit to the Vice President for Finance and the Senior Vice President for Academics a copy of each bid, the approved itinerary, a budget, and recommendations.
2. The Vice President for Finance, in consultation with the Senior Vice President for Academics, will either approve the budget or return it to the director for adjustments.

d. Implementation Phase.

1. Upon the receipt of administrative approval, the Center for Global Outreach will request the Vice President for Finance to establish all necessary contractual arrangements.
2. The College of Graduate & Innovative Programs office will develop publicity for the extended study course.

3. A requisition must be approved for all purchase orders or contracts necessary.
4. The College of Graduate & Innovative Programs office will disseminate, in cooperation with the instructor, public relations materials about the extended study course.
5. The College of Graduate & Innovative Programs office or its college-designated agent shall be responsible for the collection and disbursement of all funds connected with the course.

The process for conducting an extended travel course implies that the instructor will receive the benefits of travel and salary as the educational leader of the course. The University furthermore, is not a sponsor to extended travel courses that do not follow the above procedures.

The Faculty member anticipating any travel course, whether domestic or international in scope, should first familiarize themselves with the relevant University Travel Event Policy, and become familiar with the various forms that need to be fully utilized by the Faculty member and participating students or other participants.

Early consultation with the Director of Academic Service Learning for domestic travel and with the Director for the Center for Global Outreach for international travel is also imperative.

[Click here](#) to view the Domestic Travel Policy.

[Click here](#) to view the International Travel Policy.

### **3.8.3.3INTERNATIONAL STUDY**

International study is available through Concordia University, administered by the Center for Global Outreach, under the following stipulations:

- a. Concordia maintains agreements with various institutions and agencies to provide international study opportunities for Concordia students.
- b. The agreements will stipulate that Concordia students can remain registered at Concordia and are guest students at the providing institutions.
- c. Concordia University bills the Concordia students directly and the University will remit the appropriate funds to the providing institution.
- d. Concordia will charge the student a reasonable administrative fee for the additional work required in this process.
- e. Courses taken as part of a study abroad program should receive prior approval in writing from the Director of the Center for Global Outreach, Academic Advising, Student Financial Planning, the Business Office, and from the appropriate department chair to ensure that these courses fulfill program requirements.
- f. Students who participate in foreign study programs are responsible for making appropriate arrangements with Concordia Faculty members prior to foreign study if such participation would cause the students to miss some portion of course work in the semester before or after the study abroad experience. Faculty should be flexible in making such arrangements.

- g. Students who participate in foreign study programs other than those in which Concordia has official agreements will do so on a “stop-out” basis, unless the University granted the student an exemption.

### **3.8.4 POLICIES ON ATHLETICS**

#### **3.8.4.1 ATHLETIC ELIGIBILITY**

All athletic eligibility must follow the regulations of the NCAA, Division III. The following Concordia regulations also apply.

- a. To be eligible the student must be in good academic standing.
- b. A student may be declared ineligible by Faculty resolution because of low grades during the semester in which he or she is competing in athletics or because of conduct unbecoming a student. No student on probation for the second consecutive semester may represent the University in public, intercollegiate athletics.
- c. Students must carry not less than 12 term hours of work to be eligible. In the event that a student is carrying a portion of the academic load at an institution other than Concordia, she/he must be registered for 12 hours of credit at Concordia in order to be eligible for athletic participation.
- d. A physician must examine each student participating in intercollegiate competition at least once each year, and a record of the examination must be on file in the athletic trainer’s office before the participant begins pre-season practice.

#### **3.8.4.2 INTERCOLLEGIATE PROGRAM**

An intercollegiate athletic program exists for men and women and is guided by the National Collegiate Athletic Association (NCAA) Division III and the Northern Athletic Conference organizations in which Concordia holds membership.

The program is under the direction of the Director of Intercollegiate Athletics. Scheduling athletic events and determining length of season will be the responsibility of Intercollegiate Athletics under the supervision of the Dean of Students and the existing policies covering all co-curricular activities.

#### **3.8.4.3 INTRAMURAL PROGRAM**

The Director of Intramurals provides an organized program of intramural sports. Schedules for intramural athletics facilitate a fair distribution of gymnasium facilities and student free time with other extra-curricular activities.

Intramural teams are not permitted to compete with teams off campus during the academic year, unless specifically authorized by the Director of Intercollegiate Athletics.

### **3.8.5 COUNSELING AND GUIDANCE PROGRAM**

Each member of the Faculty has a responsibility toward the Christian training and development of the students and is ready to counsel and to help them at all times.

The Dean of Students is responsible to the Vice President for Enrollment and Student Services for the personal counseling program. The following offices and services are available:

- Residence Directors and Residence Assistants.
- The Schmieding Counseling Center.
- Academic Advising.
- Learning Assistance.

Undergraduate students are assigned to Faculty members from the respective departments of their chosen majors or specializations. Graduate students are assigned advisors within their academic programs.

In general, the Faculty member's obligation is to interpret the school's academic program to the student's need. When students are in difficulty due to an error in choosing courses, regardless of responsibility, each case is handled on an individual basis by the appropriate administrative authority.

The student's advisor must sign registration cards for all registrations and schedule changes before submission to the Registrar's office.

Information from various tests given to students is available to the office of student personnel services for counseling purposes. Counselors may refer cases to other resources for expert diagnosis. The Director of Career Services provides career counseling.

### **3.8.6 GRADUATION**

#### **3.8.6.1 STUDENT HONORS**

Eligibility:

Baccalaureate degree candidates who have attended the University their entire academic career and transfer students who have completed the equivalent of at least 64 hours (of which at least 46 must be GPA hours) in residence at the University before graduation are eligible for honors consideration.

Criteria:

The University honors eligible students who have a cumulative grade point average at the end of the semester before graduation as follows.

Range	Graduates
3.5 to 3.69	cum laude
3.7 to 3.89	magna cum laude
3.9 and above	summa cum laude

The graduation program and the student's diploma indicate student honors.

#### **3.8.6.2 DIPLOMAS**

Upon completion of all requirements for graduation, each student approved by the Faculty shall receive a diploma identifying the student's degree and any applicable honors designation. In addition, all teacher education students that have been approved for service in the schools of The Lutheran Church—Missouri Synod receive a Lutheran Teacher's Diploma, those approved as a DCE receive a Lutheran DCE Diploma, and those approved as a deaconess receive a Lutheran Deaconess Diploma.

## **4 APPENDIX**

### **4.1 TITLE IX COORDINATORS' DUTIES AND RESPONSIBILITIES**

The Lead Title IX Coordinator is responsible for implementing and monitoring Title IX compliance on behalf of the University. This includes coordination of training, education, communications, and administration of the complaint and grievance procedures for the handling of suspected or alleged violations of Title IX.

The Deputy Title IX Coordinators are also responsible for implementing and monitoring Title IX compliance at the University and for notifying the Lead Title IX Coordinator of any alleged or suspected violations of Title IX and the resolution of such alleged or suspected violations, regardless of whether a grievance is submitted.

An individual who has a complaint against a student, faculty, staff member, or other individual involving an alleged violation of this policy should contact the appropriate official as designated below either by telephone or in writing. Upon learning of an alleged violation, the Title IX Coordinator will contact the complainant/alleged victim and provide written notice of the complainant's rights and options. The University will conduct a prompt, impartial, fair, and equitable investigation and resolve all suspected or alleged violations of this policy. Although there is no specific time limit for reporting a suspected violation of this policy, an individual who believes that he or she has been subjected to conduct that violates this policy is encouraged to contact the appropriate official as soon as possible after the alleged act of discrimination, harassment, or retaliation to discuss the available options for proceeding.

Alleged violations of the Anti-Discrimination and Anti-Harassment Policy should be reported to any Title IX Coordinator (Lead or Deputy). In addition, a person who has experienced a sexual assault or other act of sexual violence may contact proper law enforcement authorities (e.g., by calling 911), including local police and any law enforcement officials at the University, about possibly filing a criminal complaint. The Title IX Coordinators are available to assist students and employees in making contact with appropriate law enforcement authorities upon request. Any pending criminal investigation or criminal proceeding may have some impact on the timing of the University's investigation, but the University will commence its own investigation as soon as is practicable under the circumstances. The University reserves the right to commence and/or complete its own investigation prior to the completion of any criminal investigation or criminal proceeding.

All other alleged violations of the Anti-Discrimination and Anti-Harassment Policy should be reported to any Title IX Coordinator (Lead or Deputy).

Depending upon the nature of the alleged or suspected policy violation, the relevant official (or his or her designee) will conduct an investigation either alone or with one or more other University officials as deemed appropriate by the University. Investigations under the Policy are conducted by an official designated by the Title IX Coordinator who receives at least annual training on issues related to dating violence, domestic violence, sexual assault, and stalking and on how to conduct an investigation process that protects the safety of victims and promotes accountability.

The investigation of any suspected or alleged violation of this policy will be completed within 60 days of the filing of a complaint or the date on which the University becomes aware of a suspected violation of this policy unless the University determines in its discretion that more time is required to complete the investigation. If the University determines that there is good cause to extend the timeframe for resolving



the alleged violation, the University will inform both parties in writing of the delay and the reason for the delay.

The nature and extent of the investigation will vary depending upon the circumstances, including whether the parties are amenable to pursuing an informal resolution (and the matter is eligible for informal resolution, as discussed below). As part of the investigation, the relevant official (or his or her designee) will seek to interview the complainant and the accused, other witnesses if appropriate, and will review relevant documents and other evidence, e.g., photos, text messages, personnel files, student files, or law enforcement files. To help ensure a prompt and thorough investigation, complainants are asked to provide as much information as possible, such as:

The name, department, and position of the person or persons allegedly causing the prohibited discrimination, harassment, or retaliation.

A description of any relevant incident(s), including the date(s), location(s), and the presence of any witnesses.

The alleged effect of the incident(s) on the complainant's terms or conditions of employment or opportunity to benefit from the University's programs or activities.

The names of other individuals who might have been subject to the same or similar acts of discrimination, harassment, or retaliation.

Although it is not required, any steps the complainant has taken to try to stop the discrimination, harassment, or retaliation.

Any other information the complainant believes to be relevant to the alleged discrimination, harassment, or retaliation.

Any accused parties are also expected to provide as much information as possible in connection with the investigation.

#### **4.1.1 REPORTING A VIOLATION OF THIS POLICY**

A person wishing to report a violation of this policy should contact one of the following individuals:

*Lead Coordinator*

*Deputy Coordinator*

*Kathe Heetel*

*Margaret K. O'Brien*

*Title IX Coordinator/*

*Director, Human Resources*

*Director, Honor Code*

*Office: Addison Hall, Room 128*

*Office: Addison Hall, Room 131*

*(t) 708 209 3528*

*(t) 708 488 4112*

*Margaret.Obrien@cuchiago.edu*

*Katherine.Heetel@cuchicago.edu*

*Deputy Coordinator – Athletic Title IX Compliance*

*Sarah O'Malley Fisher*

*Senior Women's Administrator*

*Head Softball Coach*

*Office: Kretzmann Hall 103*

*(t) 708-209-3650*

*Sarah.OMalleyFisher@cuchicago.edu*

#### **4.1.2 OPTIONS FOR ASSISTANCE FOLLOWING AN INCIDENT OF SEXUAL ASSAULT**

##### **Immediate Assistance**

Law Enforcement. Call 911 or 708 366 7127 (non-emergency) for local police or 708-209-3039 for Campus Safety immediately if your safety is at risk.

Medical attention (Sexual assault treatment centers)

Seek medical attention at:

Rush Oak Park Hospital

520 S. Maple Avenue

Oak Park, IL

708 660 6000

West Suburban Hospital Medical Center

3 Erie Ct.

Oak Park, IL

708 383 6200

Westlake Hospital

1225 W. Lake Street

Melrose Park, IL

708 681 3000

Seeking medical care is important, regardless of whether a victim chooses to report to the police or to the University. Medical attention may provide a physical exam, treatment and collection of any relevant evidence. In order to maximize evidence collection, do not shower or change clothes, eat, drink, or brush

teeth. Going to an Illinois hospital for medical care after an incident of sexual assault does not obligate an individual to file a report with the University or the police.

If you would like speak to a counselor feel free to contact the Counseling Center at x3229 or visit them on 2<sup>nd</sup> Krauss. Also, you can call or visit Pastor Leininger at Kretzmann Hall #270 (x3470) and/or Deaconess Betsy in Kretzmann Hall #266 (x3502).

#### Ongoing Assistance

#### 3) Victim support and advocacy.

On campus: Contact Public Safety at x3039 or the Counseling Center at x3229 or visit them on 2<sup>nd</sup> Krauss. Also, call or visit Pastor Leininger at Kretzmann Hall #270 (x3470) and/or Deaconess Betsy in Kretzmann Hall #266 (x3502).

#### Off campus:

Safe Place – Sarah’s Inn in Oak Park, IL 708 386 3305

24 hr. crisis line 708 386 4225

Pillars Care Center 708-PILLARS or 708 745 5277

24 hr. Domestic Violence hotline 708 485 5254

24 hr. Sexual Assault hotline 708 482 9600

National Sexual Assault hotline 1 800 656-HOPE

In addition, with the exception of those employees designated as “confidential resources,” all University employees – faculty and staff – are “responsible employees” who must report any alleged or suspected incident of sexual assault, sexual violence, domestic violence, dating violence, or stalking to one of the Title IX Coordinators immediately.

To the extent permitted by law, the confidentiality of all parties involved in the resolution of alleged or suspected violations of this policy will be observed, provided that it does not interfere with the University’s ability to conduct an investigation, take any corrective action deemed appropriate by the University, or otherwise act in the interest of the University and its faculty, staff, and students.

### **4.1.3 ACADEMIC ACCOMMODATIONS AND INTERIM MEASURES**

The University will take appropriate steps to ensure the safety and well-being of the victim, such as the ability to move housing, change work schedules, alter academic schedules, and other academic support. In addition, as noted below, other interim measures such as a “no contact” order to the alleged perpetrator may be implemented. Call the Counseling Center at (708) 209-**3229** for assistance.

The University also reserves the right to suspend any member of the University community suspected or accused of violating this policy or to take any other interim measures the University deems appropriate, pending the outcome of an investigation or grievance. Such interim measures can include, but are not limited to placing a faculty member or employee on leave of absence, removing a student from campus housing, modifying course schedules, and issuing a “no contact” order. The University will also enforce

no contact orders, restraining orders, or similar lawful orders issued by a court of which it is informed. Any such interim steps will be taken in a manner that minimizes the burden on the complainant to the extent possible.

Any person who wishes to request or discuss accommodations or other interim measures under this policy may do so by contacting the Title IX Coordinator or Deputy Coordinator.

#### **4.1.4 INVESTIGATION AND GRIEVANCE PROCEDURES**

Concordia University Chicago is committed to the prompt and equitable resolution of all alleged or suspected violations of its Anti-Discrimination and Anti-Harassment Policy about which the University knows or reasonably should know, regardless of whether a complaint alleging a violation of this policy has been filed and regardless of where the conduct at issue occurred. The University's ability to investigate in a particular situation, or the extent of the investigation in any given situation, may be affected by any number of factors, including whether the complainant is willing to file a complaint or to consent to an investigation, the location where the alleged conduct occurred, and the University's access to information relevant to the alleged or suspected violation of this policy. The University is nonetheless committed to investigating all alleged and suspected violations of this policy to the fullest extent possible under the circumstances.

#### **4.1.5 FORMAL RESOLUTION PROCESS**

The formal resolution process applies (i) to all matters involving alleged or suspected sexual assault, sexual violence, domestic violence, dating violence, or stalking; (ii) when any party so requests; or (iii) when the University elects to use the formal resolution process in any matter when the University deems it appropriate. As a part of the formal resolution process, the University may determine that further steps are required to complete the University's investigation.

##### **4.1.5.1 STANDARD FOR DETERMINING RESPONSIBILITY.**

The standard used to determine whether this policy has been violated is whether it is more likely than not that the accused violated this policy. This is often referred to as a "preponderance of the evidence" standard.

##### **4.1.5.2 RIGHTS OF COMPLAINANTS AND ACCUSED PARTIES**

##### **4.1.5.3 TIMING OF RESOLUTION**

The University shall provide any individual suspected or accused of violating this policy with a written explanation of the suspected or alleged violations of this policy. Complainants and accused parties shall both be provided with the following in connection with the resolution of suspected or alleged violations of this policy.

Equal opportunity to present information, including:

The opportunity to speak on their own behalf.

The opportunity to identify witnesses who can provide information about the alleged conduct at issue.

The opportunity to submit other evidence on their behalf.

Timely and equal access to any information that will be used during any disciplinary proceedings and meetings (to the greatest extent possible and consistent with FERPA or other applicable law).

Periodic updates on the status of the investigation as the University deems appropriate.

Timely notice of meetings at which the complainant, respondent, or both may be present.

The right to be informed of the outcome of the investigation (to the greatest extent possible and consistent with the Family Educational Rights and Privacy Act (FERPA) or other applicable law), as provided below.

The opportunity to appeal the outcome of the investigation would be referred to the Dean of Students.

In cases involving alleged sexual assault, domestic violence, dating violence, and stalking, the right to have an advisor of their choice present at any meetings or other proceedings conducted pursuant to this Policy. The advisor may not speak or otherwise participate in such meetings or proceedings except to consult privately with the party he or she accompanies.

At the conclusion of the University's investigation, all cases involving allegations of sexual assault, sexual violence, domestic violence, dating violence, or stalking, including those in which the accused party is a student, will be handled consistent with the Formal Resolution Process. In cases involving other alleged violations, any student accused of violating this Policy will be subject to the disciplinary process outlined in the Student Code of Conduct, unless the University determines in its judgment and discretion that the matters should be resolved using the Formal Resolution Process. Any staff or faculty member found to have violated the Policy will be subject to the resolution processes in this policy. If a third party is found to have violated this policy, the University will take appropriate steps to remedy and prevent recurrence of the violation; *e.g.*, canceling a vendor's contract or barring an individual from campus.

#### **4.1.5.4NOTIFICATION OF OUTCOME.**

After the conclusion of the investigation, the University will provide written notification to the complainant and the accused of the outcome within seven (7) calendar days after the conclusion of any hearing or proceeding unless the University determines that additional time is required. This notice shall be issued contemporaneously to both parties to the extent practicable. In cases involving sexual assault, sexual violence, domestic violence, dating violence, or stalking, the notice of outcome will include the finding of whether or not a violation occurred, any sanctions imposed, and the rationale for the finding and the sanctions. In other cases, the University may disclose to the complainant information about any sanctions or corrective actions taken that relate directly to the complainant (*e.g.*, a "no contact" order). The University will maintain documentation of all hearings or other proceedings, which can take various forms (*e.g.*, notes, written findings of fact, transcripts, or audio recordings, etc.). In no event will the complainant in matters involving an alleged violation of the Anti-Discrimination and Anti-Harassment Policy be required to abide by a nondisclosure agreement that would prevent disclosure of the outcome.

#### **4.1.5.5Prohibition Against Retaliation.**

It is a violation of University policy to retaliate in any way against a person or persons because they have opposed any practices forbidden under this policy or have filed a complaint, provided information, assisted, or participated in any manner in an investigation or proceeding under this policy. Any employee who engages in harassing conduct in violation of this policy will be subject to discipline, up to and including termination of employment.

#### **4.1.6 LAW ENFORCEMENT**

A person who has experienced a violation of this Policy that may also constitute a crime, such as sexual assault, domestic violence, dating violence, or stalking, also has the option (but it not required) to notify law enforcement. Call 911 or 708 366 7127 (non-emergency) for local police or 708-209-3039 for Campus Safety immediately if your safety is at risk.

If you would like speak to a counselor feel free to contact the Counseling Center at x3229 or visit them on 2<sup>nd</sup> Krauss. A counselor is available to assist a victim in contacting law enforcement authorities if he or she so chooses.

#### **4.1.7 CONFIDENTIALITY**

To the extent permissible by law, victim names are withheld from the University's publicly-available recordkeeping, such as the Annual Security Report.

If a victim requests complete confidentiality or that the University not investigate a reported violation, the Title IX Coordinator will review such a request and determine whether the request can be honored in light of the University's responsibility to provide a safe and nondiscriminatory environment for the victim and all of its students and employees. The factors that the Title IX Coordinator will consider when evaluating such a request include, but are not limited to:

The increased risk that the alleged Respondent will commit additional acts of sexual assault, domestic violence, dating violence, stalking, or other violence, such as:

Whether there have been other complaints about the same Respondent

Whether the Respondent has a history of arrests or records from a prior school indicating a history of violence

Whether the Respondent threatened further violence against the victim or others

Whether the alleged violation was committed by multiple Respondents

Whether the alleged violation was perpetrated with a weapon

Whether the victim is a minor

Whether the University possesses other means to obtain relevant evidence of the alleged violation (e.g. security cameras)

Whether the victim's report reveals a pattern of perpetration at a given location or by a particular group

The presence of one or more of these factors could lead the University to investigate and, if appropriate, pursue disciplinary action, without extra confidentiality rules. If none of these factors is present, the University may respect the victim's request for additional confidentiality.

Prior to starting an investigation, the University will inform the Complainant if, and to the extent, it cannot honor a request for additional confidentiality. In all cases, the University's prohibition against retaliation, including steps to prevent retaliation and strong responsive actions if it occurs, shall apply. As articulated elsewhere in this Policy, the University shall tailor its interim remedial measures to the

particular circumstances of each Complaint. For example, where the University cannot honor a victim's request for extra confidentiality, it shall assist the victim in accessing other support (i.e. academic, counseling, disability, health, or mental services), provide appropriate security (i.e. issuing a non-contact order, helping arrange a change of living, academic, or working conditions), ensure that the victim is aware of his or her right to file with local law enforcement, and provide assistance in such reporting if necessary.

The University's ability to fully respond to an incident, may be limited if a Complainant insists that his or her name or other identifying information not be disclosed to the Respondent or that the University not initiate a formal investigation or pursue disciplinary action against the Respondent. Under such circumstances, while the University may implement some interim remedial measures, it will necessarily be unable to explore those potential resolutions that involve the Respondent (i.e. no-contact orders or a change in the Respondent's academic or employment arrangement). In the event the University does not accept a Complainant's request that the University not disclose the Complainant's name, the University will notify the Complainant before making such disclosure to the Respondent. If the University proceeds with an investigation despite the Complainant's objection, the University shall – upon the Complainant's request – inform the Respondent that the University, not the Complainant, decided to move forward. The University shall never require a victim to participate in any investigation or disciplinary proceeding.

#### **4.1.8 SANCTIONS AND REMEDIES**

If the respondent is found to have violated this Policy, the Title IX Coordinator(s) who determine(s) sanctions shall determine the appropriate sanctions and other remedies. Possible sanctions are but not limited to: a warning letter, reprimand, suspension or expulsion/termination.

In addition, the University may provide other remedies or accommodations for the Complainant or other members of the University community, such as:

Providing victim services, including on-campus health care, counseling, and academic support services;

Arranging for the Complainant to have extra time to complete or re-take a class or withdraw from a class without an academic or financial penalty;

Reviewing past disciplinary action against the Complainant to evaluate whether there was a causal connection between the Respondent's violation and the misconduct that resulted in the College disciplining the Complainant; and

Providing education and/or support services for others in the University community

Such remedies may be considered even if they were refused as interim measures.

#### **4.1.9 FABRICATED ALLEGATIONS**

Any allegations that are found to be fabricated are subject to these investigation and grievance procedures and could result in disciplinary action, up to and including dismissal for students and termination of employment for faculty and staff.

### **4.2 DETAILED EXPLANATION OF THE FAMILY AND MEDICAL LEAVE ACT**

#### **4.2.1 DEFINITIONS**

Eligibility for FMLA leave will be determined in accordance with the definitions set forth in the FMLA and the applicable FMLA regulations in effect at the time eligibility for leave is being determined. The following definitions are summaries provided for convenience, and are not intended to modify the definitions set forth in the FMLA or the applicable regulations, to modify any rights that may exist under the FMLA, or to create any right to leave not otherwise required by the FMLA.

#### **4.2.2 SERIOUS HEALTH CONDITION**

For purposes of the FMLA, “serious health condition” means an illness, injury, impairment, or physical or mental condition that involves:

In-patient care (i.e., an overnight stay) in a hospital, hospice, or residential medical care facility, or any period of incapacity or subsequent treatment connected with such in-patient care; or

Any period of incapacity (i.e., inability to work, attend school, or perform other regular daily activities due to the condition, treatment for the condition, or recovery from treatment), which is:

More than three consecutive calendar days and involves

One in-person treatment by a health care provider, a nurse under direct supervision of a health care provider, or by a provider of health care services (e.g., a physical therapist) under orders of, or on referral by a health care provider, followed by a second in-person treatment visit that occurs (absent extenuating circumstances) within 30 days of the first day of incapacity; or

One in-person treatment by a health care provider, a nurse under direct supervision of a health care provider, or by a provider of health care services (e.g., a physical therapist) under orders of, or on referral by a health care provider, that results in a continuing regimen of continuing treatment under the supervision of a health care provider; or

Due to pregnancy or prenatal care; or

Due to a chronic condition that requires period visits (at least twice per year) for treatment by a health care provider, or by a nurse under direct supervision of a health care provider, that continues over an extended period of time, and that may cause episodic rather than a continuing period of incapacity (for example, asthma, diabetes, epilepsy, etc.); or

Permanent or long-term conditions for which treatment may not be effective, but for which the employee or a family member are under the continuing supervision of (but need not be receiving active treatment by) a health care provider; or

Any period of absence to receive multiple treatments (including any period of recovery therefrom) by a health care provider or by a provider of health care services under orders of, or on referral by, a health care provider for restorative surgery after an accident or other injury, or for a condition that would likely result in a period of incapacity of more than three consecutive, full calendar days in the absence of medical intervention or treatment, such as cancer (chemotherapy, radiation, etc.) or kidney disease (dialysis).

Ordinarily, the common cold, the flu, ear aches, upset stomach, minor ulcers, headaches other than migraines, routine dental or orthodontic problems, periodontal disease, etc., are examples of conditions that do not meet the definition of a serious health condition and do not qualify for FMLA leave.



With regard to substance abuse (including alcohol abuse), FMLA leave may be taken only for treatment of substance abuse by or on referral from a health care provider. Absences caused by the employee's use of the substance, rather than for treatment, do not qualify for FMLA leave.

### **4.2.3 HEALTH CARE PROVIDER**

For purposes of the FMLA, "health care provider" means:

A doctor of medicine or osteopathy who is authorized to practice medicine or surgery (as appropriate) by the state in which the doctor practices;

Podiatrists, dentists, clinical psychologists, optometrists, and chiropractors (limited to treatment consisting of manual manipulation of the spine to correct a subluxation as demonstrated by X-ray to exist), authorized to practice in the state and performing within the scope of their practice as defined under state law;

Nurse practitioners, nurse midwives, clinical social workers and physician assistants who are authorized to practice under state law and who are performing within the scope of their practice under state law;

Christian Science practitioners listed with the First Church of Christ, Scientist in Boston, Massachusetts;

Any health care provider from whom the University or the University's group health plan will accept certification of the existence of a serious health condition to substantiate a claim for benefits; and

A health care provider listed above who practices in a country other than the United States, who is authorized to practice in accordance with the law of that country, and who is performing within the scope of his or her practice as defined under such law.

For purposes of the FMLA, "authorized to practice in the state" means that the health care provider is authorized by state law to diagnose and treat physical or mental health conditions.

### **4.2.4 QUALIFYING EXIGENCY**

For purposes of FMLA leave to address a "qualifying exigency" that arises because an employee's spouse, son, daughter, or parent is a member of the Armed Forces who is on or has been notified of an impending covered active duty deployment to a foreign country, the term "qualifying exigency" means the following:

Issues that arise from the fact that a covered military member is notified of an impending deployment to a foreign country seven or fewer days before the date of deployment. Employees are eligible for leave for this purpose for a period of seven calendar days beginning on the day the military member is notified of the impending deployment.

Attending military events and related activities, such as ceremonies, programs and briefings sponsored by the military, military service organizations, or the American Red Cross, that are related to the covered active duty deployment of a covered military member.

Attending to childcare and school-related activities arising from a military member's covered active duty deployment, such as arranging for alternative childcare, providing childcare on an urgent, immediate need

basis (but not on a routine, regular, or everyday basis), enrolling in or transferring a child to a new school or day care facility, attending meetings with staff at a school or day care facility.

Making financial and legal arrangements to address the covered military member's absence during a covered active duty deployment.

Acting as the covered military member's representative before a government agency for purposes of obtaining, arranging, or appealing military service benefits while a covered military member is on a covered active duty deployment and for a period of 90 days following the end of the deployment.

Attending counseling provided by someone other than a health care provider for oneself, for the covered military member, or his or her child;

To spend time with a covered military member who is on short-term, temporary rest and recuperation leave during the period of deployment. Eligible employees may take up to five days of leave for each instance of rest and recuperation.

To attend to post-deployment activities, including official ceremonies and programs sponsored by the military for a period of 90 days following the termination of a covered military member's active duty deployment, and to address issues arising from the death of a covered military member while on covered active duty, such as recovering the body and making funeral arrangements.

Additional activities as agreed upon by the University and the employee.

#### **4.2.5 LEAVE TO CARE FOR A COVERED SERVICE MEMBER**

The following definitions apply to leave to care for a "covered service member":

A "Covered service member" is either:

A member of the Armed Forces (including a member of the national Guard or Reserves) who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness, OR

A veteran (as defined by federal law) who is undergoing medical treatment, recuperation, or therapy, for a serious injury or illness and who was a member of the Armed Forces (including a member of the National Guard or Reserves) at any time during the period of 5 years preceding the date on which the veteran undergoes that medical treatment, recuperation, or therapy.

A "serious injury or illness" means:

In the case of a current member of the Armed Forces, an injury or illness incurred in the line of duty on active duty in the Armed Forces, or one that existed before the beginning of the covered service member's active military service, but that was aggravated by service in the line of active duty in the Armed Forces, that may render the member medically unfit to perform the duties of the member's office, grade, rank, or rating; or

In the case of a veteran, a qualifying (as defined by the Department of Labor) injury or illness incurred by the member in the line of active duty on active duty in the Armed Forces, or one that existed before the beginning of the covered service member's active military service, but that was aggravated by service in

the line of active duty in the Armed Forces, and that manifested itself before or after the member became a veteran.

“Next of kin” means the nearest blood relative, other than spouse, parent, son or daughter, in the following order of priority: blood relatives granted legal custody over the covered service member by court decree or statutory provisions, brothers and sisters, grandparents, aunts and uncles, and first cousins. If the covered service member has specifically designated in writing another blood relative as his or her nearest blood relative for purposes of military caregiver leave under the FMLA, that relative (and only that relative) will be the covered service member’s next of kin. When no such designation is made and there are multiple family members with the same level of relationship to the covered service member, all such family members are considered the covered service member’s next of kin.

#### **4.2.6 AMOUNT OF LEAVE**

Generally, eligible team members are entitled to take up to 12 weeks of leave in a single 12-month period for the reasons specified above. For the purposes of this policy, the University will use a “rolling” 12-month period measured backward from the date a team member uses any FMLA leave. Available leave is determined by subtracting the number of weeks of FMLA leave taken during this 12-month “look back” period from the 12-week total allowed.

Any leave taken for the birth or care of a child or the placement of a child for adoption or foster care must be completed within one year after the date of birth or placement.

If both the employee and spouse are employed by the University and eligible for FMLA leave, the employee will be permitted to take only a combined total of 12 weeks of leave during a 12-month period if leave is for the birth and care of a child, the placement of a child for adoption or foster care, or to care for a parent (not a parent-in-law) with a serious health condition for these reasons.

Eligible employees are also entitled to up to 26 workweeks of leave in a single 12-month period to care for a spouse, son, daughter, parent, or next of kin who is a “covered service member.” The 12-month period for leave to care for a covered service member begins on the first day that a team member takes leave to care for a covered service member. During this period, the employee is entitled to a combined total of 26 workweeks of leave for any FMLA-qualifying reason, no more than 12 weeks of which may be for reasons other than to care for a covered service member. This leave is applied on a per-covered-service member, per-injury basis, meaning that a team member is entitled to only one 26-workweek allotment of leave per covered service member (unless the covered service member is later re-injured in the line of active duty). If both the employee and spouse are employed by the University and are eligible for FMLA leave, the employee will be permitted to take only a combined total of 26 workweeks of leave during the single 12-month period for this reason.

#### **4.2.7 HOW TO REQUEST FMLA LEAVE**

If an employee needs to take time off for reasons that he or she believes qualify for FMLA leave, the employee must comply with the University’s usual and customary policies and procedures for reporting absences, including submitting a completed and signed Leave Request Form. If necessary, Human Resources will contact the employee to request additional information or documentation regarding the absence. See Attendance and Absences Policy, p. 38. Failure to comply with the University’s absence reporting policies and procedures or to provide documentation or information requested by Human Resources may result in delay or denial of requested time off, and/or discipline up to and including termination of employment.

#### **4.2.7.1 FORESEEABLE LEAVE**

If an employee knows of a need for time off 30 or more days in advance, the employee must notify Human Resources and submit the Leave Request Form no later than 30 days before time off begins, absent extenuating circumstances. If less than 30 days' notice of time off is provided, the employee will be required to explain why it was not practicable to provide 30 days' notice.

If an employee knows of a need for time off in advance but cannot provide 30 days' notice, the employee must notify Human Resources of time off and submit the Leave Request Form as soon as practicable under the circumstances. In most cases, this will mean the same day the employee learns of the need for time off, or the next business day.

When scheduling time off, the employee will be expected to consult with his or her supervisor and Human Resources to work out a schedule for leave that, to the extent possible, meets the employee's needs without unduly disrupting the University's operations.

Note that **the above procedure applies to all requests for time off**, whether or not the request is covered by the FMLA.

#### **4.2.7.2 UNFORESEEABLE LEAVE**

If are unable to notify Human Resources of the need for time off and submit a Leave Request Form before the day on which your time off begins, employees must call Human Resources at 708 209 3528 to report the expected absence in accordance with the University's absence reporting procedure.

When you contact Human Resources, employees must provide the following information:

The specific reason for absence, with sufficient information to allow the University to determine whether the FMLA may apply to the request;

When the employee expects to return to work;

A telephone number where the employee may be reached for further information.

Calling in "sick" without providing further information is not acceptable.

As soon as practicable, the employee also must submit a completed Leave Request Form to Human Resources.

The employee must follow the above procedure each day of the absence, unless absence for that day has been scheduled and approved in advance. Note that this procedure applies to **all unscheduled absences**, not merely absences for which FMLA leave is sought.

#### **4.2.7.3 LEAVE DURING WORK HOURS**

If an employee reports late to work or must leave work during work hours for any reason, he or she must immediately notify the employee's supervisor and Human Resources, and provide the information specified above. The employee must also submit a completed Leave Request Form to Human Resources before leaving the premises. In certain exceedingly rare circumstances, it may not be possible to submit a completed a Leave Request Form to Human Resources before leaving work. In these circumstances, the

employee must submit a Leave Request Form as soon as practicable, and explain why the employee could not do so before leaving work.

#### **4.2.7.4INTERMITTENT AND REDUCED SCHEDULE LEAVE**

When taking FMLA leave the employee's your own serious health condition, to care for a family member with a serious health condition, or to care for a covered service member, employees may take FMLA leave on an intermittent or reduced schedule basis, if the required health care provider's certification indicates that this is medically necessary. FMLA military family leave may also be taken on an intermittent or reduced schedule basis when necessary due to a qualifying exigency.

If an employee requires foreseeable intermittent or reduced schedule leave, he or she will be expected to consult with Human Resources to work out a schedule for such leave that meets the employee's needs without unduly disrupting the University's operations, subject to approval by the health care provider.

Likewise, if an employee needs FMLA leave due to planned medical treatment for the employee's own or a family member's serious health condition, the employee will be expected to consult with Human Resources to work out a treatment schedule that best suits the employee's needs and the needs of University, subject to approval by the health care provider. In some circumstances, the University may alter the existing job (while maintaining existing pay and benefits), or may temporarily transfer the employee to a different position with equivalent pay and benefits, to better accommodate intermittent or reduced schedule leave.

The University may consider requests for intermittent or reduced schedule leave due to the birth, adoption or foster placement of a child, but is not obligated to grant such requests, and will do so only at its sole discretion.

#### **4.2.7.5ELIGIBILITY NOTICE**

After the employee gives notice of the need for FMLA leave, the University will provide written notice advising whether or not the employee is an "Eligible Employee" under the FMLA. The University will provide this eligibility notice within five business days after receiving notice of the employee's need to leave, absent extenuating circumstances. If the employee later makes another request for FMLA leave within the same 12-month period, the University may elect not to provide another eligibility notice, unless the employee's status as an eligible employee has changed. Note that even if the employee is an "eligible employee" under the FMLA, the request for leave may be denied if the University determines that the leave is not for an FMLA-qualifying reason, or if the employee has exhausted all available leave under the FMLA.

At the same time as it provides the eligibility notice, the University will provide written notice advising the employee of any applicable rights and responsibilities relating to requested FMLA leave.

#### **4.2.7.6DESIGNATION OF FMLA LEAVE**

The University will provide written notice advising whether the leave will be designated as FMLA leave. Absent extenuating circumstances, the University will provide this notice within five business days after it receives sufficient information to determine whether requested leave is for an FMLA-qualifying reason. If the University does not provide the designation notice within the time specified above, the University may retroactively notify the employee that time off will be designated as FMLA leave if the delay in

providing this notice does not cause harm or injury to the employee, or if the employee and the University agree that the time off will be designated as FMLA leave.

#### **4.2.7.7 CERTIFICATION**

It is the employee's responsibility to provide the University with any information needed to determine whether leave qualifies as FMLA leave. The FMLA requires employees to respond to reasonable requests for information regarding leave, and failure to do so may result in delay or denial of requested leave. In addition, employees may be required to provide the certifications described below. It is the employee's obligation to provide a complete and sufficient certification form to the University within 15 calendar days after the University requests it. If not practicable to provide a completed, sufficient certification form within 15 days despite diligent, good faith efforts to do so, the employee must contact Human Resources to explain the situation.

If the employee returns a certification form but it is incomplete (i.e., one or more items are left blank) or insufficient (i.e., responses are vague, illegible, ambiguous, or non-responsive), the University will notify the employee of the deficiency. The Employee will then have 7 calendar days to provide a complete, sufficient certification. If not practicable to provide a completed, sufficient certification form within 7 days despite diligent, good-faith efforts to do so, the employee must contact the University to explain the situation.

##### **4.2.7.7.1 CERTIFICATION OF A SERIOUS HEALTH CONDITION**

If requesting FMLA leave due to the employee's own serious health condition, or to care for a family member with a serious health condition, the employee will be required to provide a health care provider's certification on a form that will be provided by the University.

##### **4.2.7.7.2 AUTHENTICATION AND CLARIFICATION**

The University may contact the health care provider to authenticate a completed certification form by providing the health care provider a copy of the form and requesting verification that the information contained on the form was written or authorized by the health care provider who signed the document.

Additionally, the University may request clarification of information on the certification form, and may ask the employee to sign, or have family member sign, a release form authorizing the health care provider to communicate with the University for the purpose of clarifying the certification. If the certification is unclear and the employee fails to provide a signed authorization or otherwise clarify the certification, the University may deny the request for FMLA leave.

#### **4.2.7.8 SECOND AND THIRD OPINIONS**

The University may require a second certification at the University's expense from a health care provider designated by the University. If the second health care provider's certification differs from the employee's health care provider's certification, the University may require certification from a third health care provider, again at the University's expense. The third health care provider will be designated or approved jointly by the employee and the University. The employee and the University are required to act in good faith to attempt to reach agreement on a third health care provider. The third opinion will be final and binding.

#### **4.2.7.9 RECERTIFICATION**

If an employee takes leave due to his or her own or a family member's serious health condition, the employee may be required to submit a complete and sufficient recertification from the employee's health care provider as often as every 30 days in conjunction with an absence. If the health care provider's initial certification specifies that the minimum duration of the condition for which leave is taken is longer than 30 days, the employee may be required to submit a recertification in conjunction with an absence when the minimum duration expires, or every six months, whichever is less. The employee also may be required to provide a recertification if an extension of leave is requested, the circumstances described in the original certification have changed significantly, or the University receives information raising doubt as to the stated reason for leave or the continuing validity of the previously-provided certification. The University will provide the required recertification form when a recertification is required.

#### **4.2.7.10 CERTIFICATION OF A QUALIFYING EXIGENCY**

If FMLA leave is requested due to a qualifying exigency arising out of the active duty deployment of a member of the Armed Forces, the employee will be required to submit a complete and sufficient certification form provided by the University, and to provide the documentation requested therein. If the qualifying exigency for which leave is taken involves a meeting or appointment with a third party, the University may contact the third party for purposes of verifying the meeting or appointment and the nature of the meeting or appointment. The University also may contact an appropriate unit of the Department of Defense to request verification that the covered military member is on active duty or call to active duty status.

#### **4.2.7.11 CERTIFICATION FOR A COVERED SERVICE MEMBER**

If leave is requested to care for a covered service member with a serious injury or illness, the employee will be required to obtain a certification from the service member's authorized health care provider on a form provided by the University. Any one of the following may complete this certification: A U.S. Department of Defense ("DOD") health care provider; a U.S. Department of Veteran's Affairs health care provider; a DOD TRICARE network authorized private health care provider; or a DOD non-network TRICARE authorized private health care provider.

The University may contact the health care provider to authenticate a completed certification form by providing the health care provider a copy of the form and requesting verification that the information contained on the form was written or authorized by the health care provider who signed the document.

Additionally, the University may request clarification of information on the certification form, and may ask that the covered service member sign a release authorizing the health care provider to communicate with the University for the purpose of clarifying the certification. If the certification is unclear and the employee fails to provide a signed authorization or otherwise clarify the certification, the University may deny the request for FMLA leave.

#### **4.2.7.12 WHILE ON FMLA LEAVE**

##### **Unpaid Leave and Substitution of Paid Leave**

FMLA leave is generally unpaid. However, if the employee has any accrued, unused benefit time, this paid time off must be used concurrently with FMLA leave, and must be exhausted before unpaid portion of FMLA leave commences.

If the employee is taking FMLA leave due to the employee's own serious health condition that renders the employee unable to work, any disability benefits for which the employee is otherwise eligible under a disability benefit plan or workers' compensation law may be used in conjunction with paid vacation or sick time, provided that total payments do not exceed 100% of normal base pay, and provided that the employee complies with all applicable terms and conditions of the disability benefit plan or workers' compensation law.

#### **4.2.7.13 HEALTH BENEFITS**

During FMLA leave, the University will continue to provide health insurance coverage for those employees who are enrolled in the Concordia Health Plan as outlined in the University's benefits policy. The employee will be responsible for paying the employee share of the premiums during any period of FMLA leave. The University will provide instructions for paying health insurance premiums during leave. The University will continue to pay its share of the premiums for group health insurance coverage while an employee are on FMLA leave, unless the employee notifies the University of intent not to return to work following leave. If the employee does not pay the employee's share of health insurance premiums while on FMLA leave, the employee may be dropped from plan coverage until return to work (subject to any required waiting period).

If the employee does not return to work at the University after the approved leave, the employee may be required to repay the University all insurance premiums paid by the University during leave, unless the failure to return to work was due to the recurrence or onset of a serious health condition or injury or illness of a covered service member, which would otherwise entitle the employee to FMLA leave, or due to other circumstances beyond the employee's control.

#### **4.2.7.14 OTHER BENEFITS**

Consistent with University policy for all types of leave, employees will not accrue benefit time while on FMLA leave. Additionally, employees will not be paid for holidays that occur during the leave. However, the leave period will be treated as continuous service (i.e., no break-in-service) for purposes of vesting and eligibility to participate in the University's retirement plan.

For questions regarding your benefits while on disability, please contact Human Resources at 708 209 3528 or Concordia Plan Services 1 888 927 7526.

#### **4.2.7.15 REPORTING REQUIREMENTS DURING LEAVE**

While on FMLA leave for a period of more than one work week at a time, the University may contact an employee periodically to confirm his or her intention to return on the scheduled date.

The employee must notify the University of any change in the expected return to work date (i.e., if the employee will require more leave than originally anticipated, or if the employee will return to work earlier than expected) within two business days after learning of such a change. If this is not possible due to an unforeseen change in circumstances, the employee must notify the University of the change as soon as practicable under the circumstances.

#### **4.2.7.16 REINSTATEMENT AT THE CONCLUSION OF FMLA LEAVE**

If the employee timely returns from FMLA leave and used the leave for the stated purpose, he or she generally will be reinstated to the same position held when leave began, or to an equivalent position with



equivalent benefits, pay and other terms and conditions of employment. However, employees may not be reinstated if employment would have terminated for reasons unrelated to FMLA leave, or if are unable to perform any essential functions of the job (with or without any required accommodations).

Additionally, the FMLA provides a limited exception to the University's reinstatement obligation for certain "key" employees. A "key" employee is a salaried, FMLA-eligible employee who is among the highest-paid 10% of employees located within 75 miles of the work site in question. Under limited circumstances where restoration to employment will cause substantial and grievous economic injury to its operations, the University may deny reinstatement to a key employee after FMLA leave. The University will notify employees who are "key" employees at the time leave is requested, will notify the employee if it decides to deny restoration, and will provide a reasonable opportunity to return to work after providing such notice.

Before returning to work from FMLA leave due to the employee's own serious health condition lasting more than three consecutive work days (or for an absence of a shorter duration that gives rise to a reasonable safety concern regarding the employee's ability to safely perform the job), the employee will be required to submit a certification from your health care provider that he or she is able to resume work. If requested, this certification must specifically confirm that the employee is able to perform the essential functions of the position, as set forth in the job description provided by the University.

#### **4.2.7.17 PROHIBITIONS**

Consistent with the University's policy regarding all types of leave, the following conduct is strictly prohibited in relation to FMLA leave:

Engaging in fraud, misrepresentation or providing false information to the University or any health care provider.

Having other employment during the leave, without prior written approval from the University.

Failure to comply with the employee's obligations under this policy.

Failure to timely return from the leave.

Employees who engage in such conduct will be subject to loss of benefits, denial or termination of leave, and discipline, up to and including discharge.

#### **4.2.7.18 THE UNIVERSITY'S COMMITMENT**

The University will not interfere with, restrain, or deny the exercise of any right provided by the FMLA, nor will it discharge or discriminate against any individual for opposing any practice or involvement in any proceeding relating to the FMLA. The University recognizes the co-existence of state and/or local laws regarding family and medical leave. Where such laws apply and provide greater family and medical leave rights than the FMLA, the University will apply those laws.

### **4.3 Victims' Economic Security and Safety Act (VESSA)**

The University provides leave to eligible employees under VESSA, which allows up to 12 weeks of unpaid leave (which may be taken on an intermittent or a reduced work schedule) in any 12-month period to any employee who is a victim of domestic or sexual violence or who has a family or household

member who is a victim of domestic or sexual violence (provided that the employee is not the person accused of such violence). The information provided herein summarizes the provisions of VESSA for convenience, and is not intended to modify the definitions set forth in the law or any applicable regulations, to modify any rights that may exist under VESSA, or to create any right to leave not otherwise required by VESSA.

To qualify for VESSA, an employee must:

Seek medical attention for or recovery from physical or psychological injuries that were caused by domestic or sexual violence to the employee or to the employee's family or household member;

Obtain services from a victim services organization for the employee or for the employee's family or household member;

Obtain psychological or other counseling for the employee or for the employee's family or household member;

Participate in safety planning, temporary or permanent relocation, or other actions to increase the safety of the employee or the employee's family or household member from future domestic or sexual violence or to ensure economic security; or

Seek legal assistance or remedies to ensure the health and safety of the employee or for employee's family or household member, including preparation for or participation in any civil or criminal legal proceeding that is related to or derived from domestic or sexual violence.

NOTE: "Family or household member" is defined as a spouse, parent, son, daughter, and person who reside jointly in the same household as the employee.

Employees are entitled to up to 12 work weeks of unpaid leave under this policy during any 12 month period. Unpaid leave does not exceed (and is not in addition to) Family and Medical Leave. In other words, depending on the reason for the absence, an employee could have concurrent leave under this policy and under the University's Family and Medical Leave policy. Leave under this policy may be taken intermittently (or on a reduced work schedule).

Employees must provide their supervisor or manager with a minimum 48-hours advance notice unless "such notice is not practicable." If an employee takes an unscheduled absence under this policy without an advance notice, he or she must provide official certification for the leave in "a reasonable period of time."

Employees must provide certification (i.e., proof) that the employee, family or household member is a victim of domestic or sexual violence.

Employees may satisfy this certification by providing *a sworn statement to the University and providing:*

Documentation from an employee, agent, or volunteer of a victim services organization, an attorney, a member of the clergy, or a medical or other health care professional from whom the employee or the employee's family or household member has sought assistance to address the domestic or sexual violence and the effects of that violence;

A police or court record; or

Other corroborating evidence.

As in the University's Family and Medical Leave Policy, employees will generally be restored to the same positions or to equivalent positions with equivalent employment benefits, pay, and other terms and conditions of employment when returning from leave. However, the employee may not be reinstated if employment would have terminated for reasons unrelated to your VESSA leave, or if the employee is unable to perform any essential functions of the job (with or without any required accommodations).

Taking leave under this policy cannot result in the loss of any employment benefit accrued prior to the date on which the leave commenced. However, the employee is not entitled to:

The accrual of any seniority or employment benefits during any period of leave; or

Any right, benefit, or position of employment other than any right, benefit, or position to which the employee would have been entitled had the employee not taken the leave.

The University will require an employee on leave to report periodically on his or her status and intention to return to work.

During a domestic or sexual violence leave of absence, the employee will not accrue employment benefits; however, employment benefits accrued by the employee up to the day on which the leave of absence begins will not be lost. During the leave, the employee will not receive pay for holidays that occur within that time frame.

Employees must use their available benefit time during the leave.

During any period of leave taken under this policy, the University will maintain coverage for the employee and any family or household member under any group health plan for the duration of such leave at the level and under the conditions that coverage would have been provided if the employee had continued in employment continuously for the duration of such leave. During this leave period, the University will continue to pay its portion of the health insurance premium, and *the employee must continue to pay his or her share of the premium.* Failure of the employee to pay his or her share of the health insurance premium may result in loss of coverage.

The University may recover the premium that it has paid for maintaining health coverage for the employee and the employee's family or household member under such group health plan during any period of leave if:

The employee fails to return from leave after the period of leave to which the employee is entitled has expired; and

The employee fails to return to work for a reason other than:

The continuation, recurrence, or onset of domestic or sexual violence that entitles the employee to leave; or

Other circumstances beyond the control of the employee.

The University may require an employee who claims that he or she is unable to return to work due to reason 1 or 2 above to provide certification that he or she is unable to return to work due to that reason, within a reasonable period after making the claim. An employee may satisfy this certification

requirement by providing to the University: a *sworn statement* of the employee; *documentation* from an employee, agent, or volunteer of a victim services organization, an attorney, a member of the clergy, or a medical or other professional from whom the employee has sought assistance in addressing domestic or sexual violence and the effects of that violence; a police or court record; or other corroborating evidence.

The University will provide a reasonable accommodation as required by VESSA, unless doing so would impose an undue hardship on the University's operations. If an employee requires a reasonable accommodation for reasons relating to domestic or sexual violence against the employee or a household member, the employee must notify Human Resources and cooperate with the University's efforts to confirm whether an accommodation is required and, if so, what accommodation is appropriate.

The University strictly prohibits discrimination or retaliation against any applicant or employee who is protected by VESSA or who exercises any rights under VESSA. Violations of this policy must be reported in accordance with the University's Equal Employment Opportunity Policy.



academic policies (F)	106
definition (F)	103
Distinguished Awards (F)	119
eligible Faculty (F)	103
Institute for Church Professionals (F)	125
Professional Education Policies (F)	114
Synodical placement approval (F)	121
Committee Service (S)	67
Committees regulations (F)	105
Compensation Faculty (F)	230
termination (F)	231
Compensation (E)	36
Compliance Officer Whistleblower (E)	32
<i>Concordia College (E)</i>	19
<i>Concordia College (F)</i>	71
<i>Concordia Teachers College (E)</i>	19
<i>Concordia Teachers College (F)</i>	71
<i>Concordia University (E)</i>	19
<i>Concordia University (F)</i>	71
<i>Concordia University Chicago (E)</i>	20
<i>Concordia University Chicago (F)</i>	71
Concordia University System Board of Directors (F)	74, 75
Institution Policy Manual (F)	74
members (F)	75
responsibilities (F)	76
Conduct conduct (E)	32
ethics (E)	32
Conference Planning (F)	247
Confidential Letters (F)	142, 151, 168, 190
Conflict of Interest (E)	31
Conflict of interest (F)	221
Consent sexual (E)	23
Continuing Education Faculty (F)	76
Continuing Education (F)	247
Contributions charitable (E)	38
Coordinator Title IX (E)	25
Copyright policy (E)	31
Copyright (F)	245
Copyright Law IT use (E)	51
Core values university	17
Correspondence Course (F)	246
Council	

Academic (F)	86
definition (F)	104
Distinguished Awards (F)	118
Growth & Development (F)	115
Strategic Planning (F)	72, 120
Teaching Learning Technology (F)	122
Counseling student (F)	254
Counseling services (E)	42
Credit Prior Learning (F)	241
Critical Targets Strategic Plan (F)	73
Curriculum Library Idea Center CLIC (F)	246

## D

Dating violence (E)	23
Deaconess Colloquy Exam Task Force (F)	124
Dean Arts & Sciences (F)	88
Business (F)	89
Education (F)	90
Graduate & Innovative Programs (F)	91
selection (F)	87
term (F)	87
Dean's List (F)	241
Deductions Non-Minister of the Gospel (E)	36
Definition tribunal (F)	104
Definitions (F)	103
Demur Policy (F)	107
Department chair selection (F)	97
establishment (F)	96
function (F)	97
membership (F)	96
role (F)	97
termination (F)	96
Department Chair responsibilities (F)	97
Disability Plan (E)	41
Disciplinary Action (S)	63
Discrimination policy (E)	20
Distinguished Awards Committee (F)	119
Distinguished Awards Council (F)	118
Distinguished Professor (F)	208
Dominican University tuition	46
Drug-free policy (E)	55

## E

Education Policy Committee (F)	111
Elections Officer (F)	106
E-mail policy (F)	234
Emergency accident (E)	59
procedures (E)	59
Emergency Guide location (E)	59
<i>Emeriti Faculty (F)</i>	129
rostered (F)	129
Employee exempt (E)	34
Non-exempt (E)	35
official records (E)	38
part-time (E)	35
regular full-time (E)	35
relatives (E)	38
temporary (E)	35
Employment at will (E)	40
immigration (E)	34
outside (S)	62
reference requests (E)	40
Employment at Will definition (E)	40
Employment at Will (S)	67
EPC (F)	111
Equal Employment Opportunity (E)	33
Escort security (E)	60
Ethics (E)	18
<i>Evangelical Lutheran Teachers Seminary (E)</i>	19
<i>Evangelical Lutheran Teachers Seminary (F)</i>	71
Event scheduling (F)	250
<i>Ex officio non-voting rights (F)</i>	80, 105
Exempt employee (E)	34
Exit interview (E)	40
Exploitation sexual (E)	24
Extension of service retirement (F)	216

## F

Faculty adjunct (F)	128
---------------------	-----



Instruction Design Team	
tablet computer (F)	237
Insurance	
accident plan (E)	42
disability (E)	41
health (E)	41
survivor (E)	41
unemployment (E)	47
worker's compensation (E)	47
Intercollegiate Athletics (F)	254
International Study (F)	253
Intramural Athletics (F)	254
IRB	
Institutional Review Board (F)	218

## J

<i>Joint</i>	
committee (F)	104
council (F)	104
task force (F)	104
Jury duty (E)	50

## L

Law Enforcement	
Title IX (A)	262
<i>LCMS Handbook</i>	
hierarchy (F)	74
LCMS Institutions Tuition (E)	47
Leave of absence	
VESSA (E)	49
Leave of Absence	
bereavement (E)	50
FMLA (E)	48
funeral (E)	50
jury duty (E)	50
military (E)	50
nursing mother (E)	50
personal (E)	51
school visit (E)	50
voting (E)	49
witness	50
Library	
reserve book (F)	245
Library (F)	245
<i>Lutheran Education (F)</i>	126

## M

Media	
inquiries (E)	31
Media Services (F)	236
Members	
Concordia University System (F)	75

Membership	
academic department (F)	96
Military Leave (E)	50
Minister of the Gospel	
voluntary deductions (E)	37
Mission	
university (E)	17
Mission Statement (F)	71
Modified Service (F)	216
Moving Expenses (E)	39

## N

NASM	127
Non-exempt	
employee (E)	35
Non-Minister of the Gospel	
deductions (E)	36
Non-voting Rights	
<i>ex officio (F)</i>	80, 105
Nursing Mother	
leave (E)	50

## O

Office Hours	
Faculty (F)	233
Official records	
employee (E)	38
Organization Chart	
academics	84
President's Cabinet (F)	83
organizational chart (F)	82
Orientation	
Faculty (F)	131
Outside Employment (F)	231
Outside Employment (S)	62
Overload	
student	241
Overtime (S)	62

## P

Part-time	
employee (E)	35
Pass/Fail (F)	238
Pastor	
campus (F)	235
Pay period (E)	36
Payday	
biweekly (E)	36
Payroll	
deductions (E)	36
reductions (E)	36
Peer Review	
Arts & Sciences (F)	133
Business (F)	134

Education (F)	135
Graduate & Innovative Programs	
(F)	135
PEPC (F)	114
Performance Review	
annual (S)	63
initial (S)	62
Personal information	
responsibility (E)	37
Personal Leave (E)	51
Personal relationships (E)	28
Personal Rights (F)	228
PhoneMail®	
policy (F)	234
Planning	
Strategic (F)	72, 120
Policies Committee	
Professional Education (F)	114
Policy	
academic freedom (F)	223
alcohol (E)	59
Anti-Discrimination (E)	20
Anti-Harassment (E)	20
attendance (S)	63
copyright (E)	31
drug-free (E)	55
e-mail (F)	234
gift acceptance (E)	31
grievance (E)	41
hazardous materials (E)	60
PhoneMail® (F)	234
research (F)	218
sexual harassment (E)	21
smoke-free (E)	59
social media (E)	52
tablet computer (F)	237
voicemail (F)	234
Whistleblower (E)	32
workplace violence (E)	56
Policy absence (S)	63
Policy Committee	
Arts & Sciences (F)	109
Business (F)	110
Education (F)	111
Graduate & Innovative Programs	
(F)	112
Student Life (F)	113
President	
academic head (F)	<b>80</b>
President delegation	
Faculty (F)	81
President's Cabinet	
chart (F)	83
President's Cabinet (F)	81
Print Services (F)	236
Privacy	
information technology (E)	52
Procedure	



accident (E)	59
emergency (E)	59
Title IX grievance (A)	260
Professional Conference	
allowance (F)	220
Professional Education Policies	
Committee (F)	114
Promotion (F)	132
Promotions (S)	66
Purchasing (E)	26

## R

Records	
official employee (E)	38
Recruitment	
Faculty (F)	76
Reduction in Force	
procedure (F)	226
Reduction in Force (F)	225
References	
employment requests (E)	40
Regular full-time	
employee (E)	35
Relationships	
personal (E)	28
Relatives	
employee (E)	38
Release	
involuntary (S)	68
Removal	
rostered Faculty (F)	222
Removal from Office	
Faculty (F)	209
Repeat Course (F)	240
Report Violation	
Whistleblower (E)	32
Research	
animal (F)	220
Faculty	218
Institutional (F)	218
Research (F)	218
Reserve Book	
library (F)	245
Resignation	
voluntary (E)	40
voluntary (S)	67
responsibilities	
Concordia University System	76
Retaliation	
Whistleblower	32
Retaliation (E)	21, 24
Retirement	
extension of service (F)	216
initiation (F)	216
voluntary (E)	40
voluntary (S)	68
Retirement (F)	216

Retirement Plan (E)	42
Review new programs	
Concordia University System (F)	76

Rostered Faculty	
installation (F)	100

## S

Sabbatical (F)	216
Schedule	
events (F)	250
School Visit	
absence (E)	50
Secretary	
University Faculty (F)	102
Security Escort (E)	60
Security Report	
annual (E)	54
Senate	
appoint task forces (F)	108
<i>Faculty Handbook (F)</i>	108
function (F)	107
meetings	109
membership (F)	109
selection (F)	109
student life (F)	108
terms (F)	109
Senate Chair	
duty (F)	105
Senior Vice President for Academics	
(F)	84
Separation	
employment at will (E)	40
Sexual	
assault (E)	22
consent (E)	23
exploitation (E)	24
violence (E)	22
Sexual Harassment	
policy (E)	21
SLPC (F)	113
Smoke-free	
policy (E)	59
Social Media	
policy (E)	52
SPC (F)	72, 120
Speakers	
academic function (F)	248
Staff Counsel (S)	67
Stalking (E)	23
Standards (E)	18
Stipend	
tablet computer (F)	237
Strategic Plan	
Critical Targets (F)	73
Strategic Planning	
Council (F)	72

Strategic Planning Council (F)	120
Student	
admission policies (F)	243
overload (F)	241
Student Life	
Senate (F)	108
Student Life Policies Committee (F)	
	113
Study Leave (F)	217
Summer Teaching Load (F)	230
Survivor Plan (E)	41
Synodical Convention	
Faculty advisory representative	
(F)	117
Synodical Placement Approval	
Committee (F)	121

## T

Tablet computer	
Help Desk (F)	237
Instructional Design Team (F)	237
stipend (F)	237
Tablet Computer	
policy (F)	237
<i>Task Force</i>	
Arts & Sciences (F)	109
deaconess colloquy exam (F)	124
definition (F)	104
teacher colloquy exam (F)	124
Taxation	
Disability Plan (E)	41
Survivor Plan (E)	41
Teacher Colloquy Exam Task Force	
(F)	124
Teaching Learning Technology	
Council (F)	122
Teaching Load	
summer (F)	230
Technology Services (F)	235
Telephone (F)	236
Temporary	
employee (E)	35
Tenure track	
full-time Faculty (F)	128
Termination	
compensation (F)	231
Time off	
holidays (E)	47
Timesheets (S)	62
Title IX	
grievance procedure (A)	260
Title IX	
academic accommodation (A)	
	259
Assistance (A)	258
confidentiality (A)	262
Coordinator (A)	256

coordinator (E)	25
false allegations (A)	263
law enforcement (A)	262
Remedies (A)	263
Sanctions (A)	263
violation report (A)	257
Title IX (E)	25
TLTC (F)	122
Transfers (S)	66
Travel	
advance (F)	221
Travel course	
extended (F)	251
Tribunal	
definition (F)	104
Tuition (F)	247
Tuition Benefits (E)	43
Tuition Benefits (F)	232
Tuition Reimbursement	46

## U

Unemployment

insurance (E)	47
University Faculty	
hierarchy (F)	74
secretary (F)	102

## V

Vacation Benefit (F)	230
Vehicles	
university fleet (E)	27
VESSA	
qualification (A)	273
Victims' Economic Security &	
Safety Act (A)	273
VESSA (E)	49
Violation Report	
Title IX (A)	257
Violence	
dating (E)	23
domestic (E)	23
policy (E)	56
sexual (E)	22
Vision	

university (E)	17
Visiting Faculty (F)	128
Voicemail	
policy (F)	234
Voting	
balloting (F)	105
Voting (E)	49

## W

Wellness Plan (E)	43
Whistleblower	
<b>Compliance Office (E)</b>	32
policy	32
Reporting Violations (E)	32
Withdrawal (F)	240
Witness	
leave (E)	50
Workers' Compensation	
insurance (E)	47

