

Palo Alto University

Psychology | Counseling

Faculty Handbook

PREAMBLE

This Handbook serves as a guide for faculty members throughout their academic careers at Palo Alto University (PAU). This document delineates their responsibilities as teachers, scholars, mentors, and guardians of the academic program. Guidelines for appointment, reappointment, promotion and tenure, organization and governance, and college policies that pertain to members of the PAU community appear within its pages.

This Handbook also describes contingent faculty and other non-tenure track appointments, processes and procedures for reappointment and promotion, and includes information regarding benefits and service expectations.

This Handbook does not detail every aspect of institutional life for a faculty member. Therefore, we depend upon the Faculty Senate and the Chief Academic Officer to be resources on all matters concerning faculty, and both be responsible for the contents of the Handbook and for communicating its content to the faculty.

As might occur in the governance of any complex organization, conflicts may arise from time to time in the interpretation of sections of this Handbook vis-à-vis the University Bylaws or the policies of the Board of Trustees. Aligned with common practice in higher education, the language of the Bylaws and the Trustees' policies will prevail. In the case of a dispute in interpretation of the handbook, the president of the university will interpret the policy and provide a written rationale if the difference in interpretation is a significant matter.

Faculty are partners in the work of the University, in the shared responsibilities of managing the academic enterprise, in joint efforts to build academic units of scholarly and educational excellence, and in their roles in teaching, research, and professional practice.

– PAU Board of Trustees

Faculty carry the heart of this University every day. Through their scholarship, teaching, and clinical practice, they shape lives and prepare the next generation of behavioral scientists to serve a world that needs them more than ever. I am grateful for our Faculty's expertise, humanity, and the difference they make far beyond our campus.

– Dr. Farouk Dey, PAU President

Handbook Revisions

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1. UNIVERSITY BACKGROUND

1.1. Aspiration

Palo Alto University (PAU) strives to be a preeminent and robust learning community in the fields of Psychology, Counseling, and Social Work with a commitment to diversity and to improving the human condition. As a unique, highly focused institution of higher education, PAU is dedicated to advancing knowledge through rigorous research and scholarship, producing outstanding professionals, innovators, and leaders, and achieving pedagogical excellence.

1.2. Vision

A future shaped by human understanding

1.3. Mission Statement

Palo Alto University advances human understanding through innovative education, groundbreaking research, and impactful practice in behavioral science.

1.4. Core Values

PAU's values have been reaffirmed through lived experience, group discussions, surveys, and focus groups. The five values (Equity & Inclusion, Community, Excellence & Integrity, Compassion, and Innovation) express PAU as an organization that understands its distinctive culture that supports a world in which insight into human behavior improves well-being and contributes to just and inclusive communities.

1.5. Educational Assumptions and Outcomes

Palo Alto University programs are characterized by innovative and creative collaborations with a variety of institutions in the San Francisco Bay area and the larger global community. Palo Alto University programs reflect a commitment to rigorous academic learning environments and scientific inquiry as well as evidence-based, socially engaged clinical training and service provision. The aim is to produce graduates and clinicians whose professional activities are grounded in science and the highest professional practice standards. Palo Alto University offers a select but diverse range of undergraduate, masters, Psy.D., and Ph.D. programs emphasizing the integral role of psychology, counseling, and the social sciences in a wide variety of academic and applied disciplines. The scientific and professional rigor, and the broad range of degrees offered, make Palo Alto University uniquely suited to attract and train students at all levels who aspire to improve the human condition.

All aspects of the didactic and experiential preparation of psychology and counseling pre-professionals in mental health are consistent with the appropriate professional organization (e.g., American Psychological Association's Ethical Principles of Psychologists, the American Counseling Association's code of ethics, and the National Association of Social Workers' code of

ethics). The faculty and staff at PAU strive to deepen their understanding of issues related to cross-cultural, multi-ethnic, and other individual differences.

1.6. History of PAU

[Please refer to [Link](#)]

1.7. Academic Programs

[Please refer to [Link](#)]

1.8. PAU's Academic Partners

[Please refer to [Link](#)]

2. GOVERNANCE AT PAU

2.1. Background and Principles

The governance at PAU has evolved since the university's founding in 1975, from an independent professional school with a president-centered model of governance to a model of shared governance grounded in the fundamental principle of collaboration in key areas of institutional responsibility and decision-making. The three traditional groups participating in shared governance include the Board of Trustees, led by its chair; the President's cabinet, led by the president; and faculty members, led by the Faculty Senate. As an independent nonprofit university, final authority is vested in the Board of Trustees.

As the University continues to evolve, there is recognition that effective shared governance must include ongoing and open communication, areas of common responsibility, commitment to accountability, and an alignment of institutional priorities that are rooted in the best interest of the university. The following principles are informed by the AAUP Statement on Shared Governance and by the Association of Governing Boards (AGB) Board of Directors' Statement of Shared Governance.

PAU'S Principles of Shared Governance

1. Shared governance must be based on a culture of mutual respect, positive intentions, and meaningful engagement.
2. The Board, the administration, and faculty should commit to ensuring a broad understanding of shared governance and the value it offers an institution or system.
3. Shared governance involves students and staff as important participants to inform and aid an effective system of shared governance.
4. Shared governance requires an ongoing and consistent commitment by faculty, institutional, and

board leaders.

5. Shared governance is grounded in the fair, consistent, and professional interactions among stakeholders.
6. Shared governance requires consistent and effective flow of communication.
7. Institutional policies that define shared governance should be reviewed periodically to ensure their currency and applicability.

2.2. General Governance Roles

General governance of the University derives from the total body of the University's charter provisions, bylaws, Board of Trustees resolutions, and Presidential directives by which the corporate staff is guided, as well as by participation of the President's Cabinet, Faculty Senate, and staff and student groups.

2.2.1. Board of Trustees

As an independent nonprofit institution of higher education, and in accordance with the charter granted to the University by the State of California in 1975, full legal power, responsibility, and final authority is vested in the Board of Trustees. The organization and operation of the Board of Trustees are described in the bylaws of the University. The Board appoints the president of the University.

2.2.2. President

The President oversees the academic, administrative, and financial activities of the University, and external relations, and day-to-day operations in those areas. The President has the power to appoint and dismiss academic and administrative officers of the university. The President is a member of all university committees.

2.2.3. President's Cabinet

The President's Cabinet is a body of officers of the university and other administrators who directly assist the president. Primary subjects covered include university policies, protocols, procedures, and operational practices; enrollment; external relations; risk management; and short-term and long-range planning.

2.2.4. Chief Academic Officer (CAO)

The President delegates responsibility to the Chief Academic Officer (hereby referred to as the CAO) for all academic departments, centers, and offices that provide academic support (such as placement and training, the library, and academic support services). The CAO will delegate responsibility for daily operation of academic units to department chairs, department heads of academic offices, and the director of the library. Assessment of educational effectiveness represents a priority area in

Academic Affairs, and the CAO will work closely with the Office of Institutional Research and the Department of Assessment and Institutional Effectiveness to facilitate alignment with the academic programs. The CAO will work collaboratively with the departments to develop strategic programmatic and financial plans that ensure the academic mission of the school is accomplished. The CAO is an ex-officio member of the faculty.

2.2.5. Faculty Senate

The Faculty Senate facilitates faculty involvement and oversight in all matters pertaining to the academic integrity of the institution. The Faculty Senate is responsible for ensuring adequate faculty contributions to shared governance as defined by the 1966 AAUP Statement. The Senate's composition, roles, and procedures are defined in the Faculty Senate Constitution [\[see Appendix A\]](#). The Senate Constitution declares that the Faculty Senate may communicate with a single voice for faculty members in creating and revising university policy, the consideration of academic issues, and other issues of importance to faculty members. The Faculty Senate Chair has the responsibility to convey the recommendations of the faculty body to the CAO and/or university president.

The Faculty Senate has one standing committee – University Faculty Review Committee.

2.2.6. The Faculty

The faculty has primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life that relate to the educational process. The faculty sets the requirements for the degrees offered and determines when the requirements have been met. The responsibility of faculty status includes determining the criteria for making recommendations for faculty appointment, reappointment, promotion, and the granting of tenure.

2.2.7. General Faculty Meetings

University-wide faculty meetings are regularly scheduled during the academic year (e.g., the annual Faculty Retreat). All active full-time and core faculty members not currently on leave or sabbatical are expected to attend these meetings. Faculty members who have classes scheduled at the time of a meeting should come to the meeting as soon as their classes are dismissed.

2.2.8. Department Chairs

The Department Chair has a special obligation to build a department strong in scholarship and teaching capacity, and to foster a climate that invites and welcomes the participation of all members. On policy matters, the chair is expected to give full consideration to divergent opinions within the department, and to take note of them in statements of departmental position(s).

The Department Chair is responsible to the CAO for specific administrative duties as defined in the job description. Department chairs will typically serve for a term of three years, though terms may be

extended. Department chairs are appointed by the CAO after the CAO considers the recommendation of the members of the department. Department Chairs are not eligible to serve as a faculty representative (e.g., service on the Senate).

2.2.9. Department Meetings

Each department has regular department meetings to review department policy; develop, assess, and improve curricular offerings; review student academic performance; and to discuss other topics pertinent to the department. Department Chairs establish an agenda for these meetings based on departmental needs and with the input of faculty and the CAO. Full-time faculty members of the programs are expected to attend these meetings. Agendas and any actions taken shall be posted on MyPAU or in a drive folder within a week following the meeting.

2.3. University Committees

The work of effective governance depends on maintaining an effective organization of committees. The following committees represent university-wide governance committees of the institution. These committees provide consultation to the President and other officers of the university and/or have the authority to act regarding matters that fall within their respective domains of responsibility.

2.3.1. Faculty Senate (See [Section 2.2.5.])

2.3.2. University Faculty Review Committee

The University Faculty Review Committee (UFRC), reviews and makes recommendations on scholar educator and tenure track faculty for annual review, reappointment, promotion, and tenure. UFRC also reviews and makes recommendations on tenure track and scholar educator faculty appointments. Faculty who have assumed predominantly administrative designations but who have not formally stepped away from their faculty role are also reviewed by UFRC. All other faculty (e.g., contingent, clinician educator, affiliated, visiting, and distinguished), are reviewed by the department chair or a clinic director and the CAO or CAO's designee.

The UFRC brings forward recommendations for reappointment, promotion and/or tenure to the Chief Academic Officer, who then forwards recommendations to the President.

The UFRC recommends policies and procedures to the CAO for faculty evaluation (appointment, reappointment, promotion, tenure, and severance of faculty) and establishes university-based criteria/standards for reappointment, promotion, and tenure for faculty based on the guidelines and practice at institutions offering comparable degrees. Changes to the university-based criteria require final approval of the CAO.

The UFRC chair is co-appointed by the CAO and the Faculty Senate Chair. The UFRC chair serves for terms of up to 3 years and may be reappointed for an unlimited number of terms.

The UFRC is composed of five (5) senior faculty members who are on lines at the Associate- and Full Professor rank and are currently 51% time or more at the University. There should be a mix of faculty appointments on the committee. Faculty who serve on this committee may not serve on the DFRC concurrently.

Committee members shall be elected in May for the upcoming academic year. Department Chairs are excluded from eligibility to serve on this committee, by virtue of their representation on the DFRC. In the event that a member of the UFRC is a candidate being considered for promotion to Professor, leaves the University, or is unable to serve for other reasons, the Department shall elect a replacement to complete the term. Meetings of the UFRC will be set with consideration of the schedules of all committee members. It is expected that all the committee members will attend all of the meetings. If a committee member is absent, the committee will decide how a vote(s) on the file(s) will be taken. The UFRC shall provide written recommendations in writing to the CAO.

The University Faculty Review Committee is a standing committee of the Voting Faculty.

See [Faculty Reappointment, Tenure and Promotion Handbook](#) for Tenure and Promotion Information.

2.3.3. University Curriculum Committee

The University Curriculum Committee is charged with overseeing and guiding the development, review, and modification of the university's curriculum. They ensure alignment with the institution's mission, vision, and educational goals, while considering the needs of students and stakeholders. The committee is responsible for reviewing new and existing programs and courses, evaluating their relevance and quality, and making recommendations for approval. They establish policies and procedures to maintain consistency and adherence to academic standards, while fostering innovation. Acting as a liaison, they promote collaboration and communication among faculty, departments, and stakeholders. Additionally, they ensure compliance with accreditation requirements and assist in the preparation of accreditation reports pertaining to the curriculum. The University Curriculum Committee is a standing committee of the Voting Faculty.

The committee consists of faculty who volunteer to represent their department or are included on the committee by virtue of their positions with the university (ex-officio). Ex-Officio members may appoint a designee to serve in their place with the approval of the Provost/Vice President for Academic & Student Affairs.

2.3.4. University Assessment Committee

The University Assessment Committee is charged with the responsibility of developing, implementing, and overseeing a comprehensive assessment program that supports and enhances the quality of education and the achievement of institutional goals. The committee is responsible for coordinating and guiding the assessment processes across the university, ensuring alignment with accreditation standards and best practices in higher education. This includes establishing assessment goals, strategies, and metrics, as well as providing guidance and support to faculty and staff in the

development and implementation of assessment plans. The committee also plays a crucial role in analyzing assessment data, identifying areas for improvement, and making recommendations for enhancing teaching, learning, and institutional effectiveness. Additionally, the committee collaborates with academic departments and stakeholders to facilitate the periodic academic program review process, ensuring the continuous evaluation and enhancement of academic programs in alignment with the university's mission and strategic goals. The committee also plans and hosts the Annual Assessment Summit for faculty and staff for assessment training, provides assessment updates, and discusses assessment issues. Through their work, the committee promotes a culture of continuous improvement, evidence-based decision making, and the advancement of academic excellence throughout the university.

The committee consists of individuals who are either appointed to represent their constituencies or included on the committee by virtue of their positions with the university (ex-officio). Ex-Officio members may appoint a designee to serve in their place with the approval of the Provost/Vice President for Academic & Student Affairs.

2.4. Faculty Participation on University Committees

The work of effective governance depends on maintaining an effective organization of committees. No person on any committee should exclusively represent any single person or university group's interests. They are encouraged to exercise their individual professional judgment as to what is best for the institution.

Faculty participation on university committees are consistent with the following principles: 1) Faculty shall have full and equitable participation on bodies involved in the recruitment and selection of the President and Chief Academic Officer; 2) Faculty are appointed to serve on committees or other decision-making groups by the President or CAO after receiving recommendations from the Faculty Senate Chair; and 3) Special university-wide committees or task forces formed by the President or CAO shall include faculty appointed by the President or CAO after consulting with the Faculty Senate Chair.

2.5. Modifying the Faculty Handbook

The University endorses and supports a collegial process of consultation and review in the development of amendments to the Faculty Handbook. While the Faculty Senate serves in an advisory capacity, the President bears final authority and responsibility for amending the Faculty Handbook. The President may delegate this authority to the Chief Academic Officer.

2.5.1. Types of Modifications

2.5.1.1 Editorial Changes

The Chief Academic Officer may make non-substantive editorial changes to the Faculty Handbook without formal review. These include: a) Correction of typographical errors; b) Updates to titles,

office names, or unit designations; c) Technical corrections to links and references; or d) Formatting adjustments. Such changes shall be logged and reported to the Faculty Senate for information.

2.5.1.2 Substantive Changes

Changes affecting policy, procedures, or faculty rights and responsibilities require formal review as outlined in Section 2.5.3.

2.5.2 Amendment Process

2.5.2.1 Initiation

Proposals to amend the Faculty Handbook may originate from any faculty member, the Faculty Senate, academic administrators, or the University President.

2.5.2.2 Required Components

Each proposal must include the specific text to be modified, proposed new language, rationale for the change, and a summary of anticipated impacts.

2.5.2.3 Review Procedure

Proposals shall be submitted to the Faculty Senate. The Faculty Senate, as needed, will direct proposals to appropriate Senate committees. These committees will review and report recommendations to the full Senate. The Senate will consider proposals at regular meetings. A vote can occur at an all-faculty meeting or by anonymous electronic survey vote, with individual links sent to the email addresses of voting faculty but without storing information about the identities of voters with their votes. A quorum of faculty must register a vote (yes, no, abstain), which is 50% + 1 person of the total number of voting faculty. Approved proposals will be forwarded to the Chief Academic Officer. The President or designee will make the final determination.

2.5.2.4 Timeline

Changes to the Faculty Handbook normally take effect at the start of the next academic year. The Faculty Senate shall report recommendations no later than 60 days prior to the May meeting of the Board of Trustees. Administrative review shall be completed within 30 days. Changes normally take effect at the start of the next academic year. Changes to the Handbook must be submitted to the CAO by the first week in April and reviewed and approved by the President by the last Board meeting of the academic year at the latest to be implemented in the following academic year. Board meeting dates and committee meeting dates for the full academic year can be obtained from the Office of the Provost.

2.5.2.5 Emergency Provisions

When institutional circumstances require immediate modification, the President may amend the Handbook directly, provided that the Faculty Senate is promptly notified, and the change is reviewed through standard procedures within six months.

2.5.3 Implementation

Upon approval of modifications, changes will be incorporated into the master copy. The university community will be notified. The online version will be updated, and records will be maintained by the Office of the Provost.

2.5.3.1 Availability

The Faculty Handbook is available on the faculty tab of MyPAU. All faculty are subject to the current version of the Faculty Handbook.

2.5.4 Precedence

In the event of conflict between policies, University Policies take precedence, followed by Faculty Handbook provisions. Department and program policies must conform to both.

2.5.5 Interpretation

Questions regarding interpretation of Handbook provisions shall be resolved by the Chief Academic Officer in consultation with the Faculty Senate.

2.5.6 Record Keeping

The Chief Academic Officer is responsible for maintaining the official archive of all past and current versions of the Faculty Handbook. The Office of the Chief Academic Officer shall maintain the master copy of the current Handbook, a log of all modifications, and records of proposals and dispositions.

2.5.7 Compliance

All Handbook provisions must comply with University Policies, applicable laws and regulations, and accreditation requirements.

2.6. Modifying the Reappointment, Promotion, and Tenure Handbook

Proposals for modifications to the Handbook may originate from the faculty (individual faculty, faculty committees or groups, the Faculty Senate, the DFRC, or the UFRC), the Chief Academic Officer, or the President.

Amendments involving simple typographic errors, obsolete website links, preamble, history, acknowledgments, title changes of administrators, name changes of offices or non-academic departments, updating due dates, or associated table of content lines need only agreement from

the UFRC Chair and the CAO to be implemented.

Amendments of substantive change related to policies and procedures affecting the review of faculty for reappointment, mid-tenure and triennial review, and promotion and tenure need to be communicated to the faculty as a whole for review, feedback, and voting. To ensure agreed-upon changes are implemented in time for faculty to use in upcoming reviews, changes will be finalized no later than April 30th of the previous academic year.

No substantive change to the Reappointment, Promotion, and Tenure Handbook (excluding appendices) will be made unless it is first submitted to the UFRC, Faculty Senate, and the Chief Academic Officer, and then communicated to the faculty as a whole by the Faculty Senate. Thus, regardless of the source of the recommended change, the faculty as a whole and the CAO have the opportunity to provide feedback to the Senate. The Senate, in collaboration with the UFRC, then finalizes the wording of the change to be put forward for a vote.

A vote can occur at an all-faculty meeting or by anonymous electronic vote (i.e., Qualtrics or similar software), with individual links sent to the email addresses of voting faculty but without storing information about the identities of voters with their votes. A quorum of faculty must register a vote (yes, no, abstain), which is 50% + 1 person of the total number of voting faculty.

If a quorum is achieved, a simple majority of “yes” votes will result in the policy being forwarded to the CAO. Final approval by the CAO shall not be given to substantive changes that fail faculty majority vote approval absent a written explanation by the CAO addressed to the Faculty Senate and UFRC and adequate opportunity for full discussion with both groups. If this discussion does not result in an agreement for proposed changes, the requested updates will be sent to the President and Board of Trustees for review.

3. FACULTY APPOINTMENTS

Fulfilling the mission requires a faculty that delivers high quality academic and clinical education and training, who engage in research to generate new knowledge and other contributions to the field, who participate in service to the University, and who are active participants in shared governance.

3.1. Tenure Track Faculty

Tenure Track faculty will have a terminal degree in their field, and are expected to carry responsibilities in all three areas of effort – teaching, research and service.

3.1.1. Initial Appointment of Tenure Track Faculty

The offer letter for initial tenure-track appointments will be for a period of three years and will indicate the amount of time, if any, which the University has recognized as applicable toward promotion in rank and/or tenure. Tenure-track faculty who have not yet been granted tenure hold probationary appointments.

3.1.2. Initial Appointment of Tenure Track Faculty with Advanced Rank or Recognized Time

Appointments to the rank of Associate Professor or Professor are made only after the Department Chair and the Chair of the Faculty Review Committee have been consulted, and after evidence has been given that the new faculty member would meet the same standards required by the committee for promotion to this rank as one already on the faculty.

The recognized time on the tenure-clock and the academic year for tenure review will be stated in the letter of appointment. This information will be made known to the Department Chair, Chair of the Department Faculty Review Committee, and University Faculty Review Committee (UFRC).

3.1.2.1 Recognized Time and Accomplishments

Scholarship, teaching, and service completed at a similar rank prior to a faculty member's initial appointment to a full-time faculty position at PAU can count towards their promotion and/or tenure review at PAU. Professional activities completed prior to promotion to that rank will not count towards specific metrics for promotion and/or tenure review at PAU. For example, activities completed prior to promotion to Associate Professor (or equivalent) at PAU or another institution will not count toward promotion to Full Professor at PAU. Global assessment of the faculty member's contributions to the field over the course of their career is considered in addition to specific metrics for promotion to full professor.

The faculty member and the University may negotiate a reduced probationary period (*see Section 3.1.1, Initial Appointment of Tenure-Track Faculty*) The reduced probationary period must be explicitly stated in the offer letter after consultation with the Department Chair and UFRC.

Faculty who have served as a Visiting Professor, Contingent Faculty Member, or other faculty role who are hired into an Assistant Professor position at PAU can negotiate to have their previous time and accomplishments recognized in their application for promotion and/or tenure at PAU. The recognition of these previous accomplishments must be explicitly stated in the offer letter after consultation with the Department Chair and UFRC.

Faculty who do not negotiate a reduced probationary period can apply for promotion and/or tenure before the sixth year under the same criteria as faculty with no prior activities to be considered (*Section 3.1.3.2. Associate Professor; Section 3.2.3.2 Scholar Educator Associate Professor*).

3.1.3. Tenure Track Faculty Ranks

3.1.3.1. Assistant Professor

One who is appointed initially as an Assistant Professor at this University should give persuasive evidence that they have the potential for continued scholarly activity and the demonstrated ability to deliver excellent teaching and effective University service. In addition to teaching, other types of experience or professional recognition may also be considered as contributing to this evidence.

The Assistant Professor will be expected to continue to develop their scholarship and pedagogical skills, and to keep up to date in their discipline. As part of keeping up in their discipline, the Assistant Professor is expected to engage in peer-reviewed scholarly activity and/or scholarly activities appropriate to the discipline.

The Assistant Professor will be expected to assume an equitable share of the advising of students, of University service, and of other faculty responsibilities as described in [\[Section 4.\]](#) of this handbook.

3.1.3.2. Associate Professor

The rank of Associate Professor is granted to faculty members who have successfully fulfilled their University responsibilities. The Associate Professor should demonstrate consistent evidence of excellence in teaching and in participation in department and university service, and be significantly involved in advising students. The Associate Professor's scholarship should include a body of peer-evaluated work. Faculty in clinical practice should have developed reputations among professional colleagues and critics as able practitioners.

Appointment or promotion to the rank of Associate Professor typically occurs after six years of service at the Assistant Professor rank, including service at other institutions. Faculty will prepare and submit a dossier for review in the Fall of their sixth year. Faculty are eligible for promotion and tenure in less than six years (i.e., submit their dossier in the Fall of the fifth year or earlier) if they have clearly and consistently demonstrated they meet criteria for promotion and tenure.

Assistant Professors who apply for promotion early are eligible to apply again prior to the close of their probationary period if they are unsuccessful in their first attempt.

One who, for various reasons, does not meet the standards required for promotion to the rank of Professor may, if they have been granted tenure, continue indefinitely in this rank without prejudice.

3.1.3.3. Professor

The rank of Professor (or "Full Professor") is granted to faculty members who have demonstrated the highest level of fulfillment of the University's ideal of the teaching scholar: actively promoting the well-being of the students, expanding the reputation of the University, and promoting the vitality of the academic community in society. A Professor will normally have twelve years of collegiate teaching (or acceptable related experience), and should have a body of peer-evaluated work and a history of service to the department, university and the profession.

3.2. Term Faculty – Scholar Educator

Scholar Educators are term faculty with predominantly teaching responsibilities who are also expected to carry responsibilities in service. Faculty in this appointment category are expected to be current in the related disciplinary literature and in the relevant research on teaching and/or clinical practice. Scholar Educators are to actively participate in how that knowledge is applied so that PAU

students are afforded instruction that leverages high impact practices for student engagement and success. Scholar Educators are essential to the University's ability to deliver on its mission and to expand the instructional capacity of the University.

Scholar Educators may voluntarily choose to engage in scholarship beyond staying abreast of the relevant research on teaching and/or clinical practice, but it is not a requirement of the appointment. Scholar Educators will have a terminal degree in the field.

3.2.1. Initial Appointment of Scholar Educator Faculty

The offer letter for initial appointment of a Scholar Educator faculty member will indicate the amount of experience, if any, which the University has recognized as applicable toward promotion in rank, and will state that their term track faculty appointment is not eligible for tenure.

An initial appointment as a Scholar Educator is for three (3) years, after which time they will be eligible for a second three-year appointment as long as they meet the criteria for teaching and service in a satisfactory manner. During their sixth year of appointment, provided the Scholar Educator is successfully executing their responsibilities in teaching and service, may result in a rolling two-year contract.

3.2.2. Initial Appointment of Scholar Educator Faculty with Advanced Rank

Appointments to the rank of Scholar Educator Associate Professor or Professor are made only after the Department Chair, and the Chair of the Department Faculty Review Committee have been consulted, and after evidence has been given that the new faculty member would meet the same standards required by the committee for promotion to this rank as one already on the faculty.

If a Scholar Educator's initial appointment at PAU is at an advanced rank, they must serve a minimum of three years in a full-time capacity before being considered for a 2-year rolling contract. (See [Section 3.3.1.](#))

3.2.2.1. Recognized Time and Accomplishments

Scholarship, teaching, and service completed at a similar rank prior to a faculty member's initial appointment to a full-time faculty position at PAU can count towards their promotion and/or tenure review at PAU. Professional activities completed prior to promotion to that rank will not count towards specific metrics for promotion and/or tenure review at PAU. For example, activities completed prior to promotion to Associate Professor (or equivalent) at PAU or another institution will not count toward promotion to Full Professor at PAU. Global assessment of the faculty member's contributions to the field over the course of their career is considered in addition to specific metrics for promotion to full professor.

The faculty member and the University may negotiate a reduced probationary period (*see Section 3.2.1. Initial Appointment of Scholar Educator Faculty*). The reduced probationary period must be explicitly stated in the offer letter after consultation with the Department Chair and UFRC.

Faculty who have served as a Visiting Professor, Contingent Faculty Member, or other faculty role who are hired into an Assistant Professor position at PAU can negotiate to have their previous time and accomplishments recognized in their application for promotion and/or tenure at PAU. The recognition of these previous accomplishments must be explicitly stated in the offer letter after consultation with the Department Chair and UFRC.

Faculty who do not negotiate a reduced probationary period can apply for promotion and/or tenure before the sixth year under the same criteria as faculty with no prior activities to be considered (Section 3.1.3.2. Associate Professor; Section 3.2.3.2 Scholar Educator Associate Professor).

3.2.3. Scholar Educator Faculty Ranks

3.2.3.1. Scholar Educator Assistant Professor

One who is appointed initially as a Scholar Educator Assistant Professor at this University should give evidence that they have the capacity for excellent teaching and the willingness for University service. In addition to teaching, other types of experience or professional recognition may also be considered as contributing to the experience desired of a Scholar Educator Assistant Professor.

The Scholar Educator Assistant Professor will be expected to continue to expand their abilities and to keep abreast of the scholarship on teaching and learning in their discipline. The Scholar Educator Assistant Professor will be expected to assume a share of the advising of students and of University service.

3.2.3.2. Scholar Educator Associate Professor

The rank of Scholar Educator Associate Professor is granted to faculty members who have successfully fulfilled their University responsibilities. The Scholar Educator Associate Professor should demonstrate consistent evidence of excellence in teaching and in advising students. The Scholar

Educator Associate Professor should maintain a scholarly engagement in the profession and are able practitioners of pedagogy. Faculty in clinical practice should have developed reputations among professional colleagues and critics as able practitioners.

Appointment or promotion to the rank of Associate Professor typically occurs after six years of service at the Assistant Professor rank, including service at other institutions. Faculty should prepare and submit a dossier for review in the Fall of their sixth year. Faculty may be eligible for promotion in less than six years if they have clearly and consistently demonstrated they meet criteria for promotion.

3.2.3.3. Scholar Educator Professor

The rank of Scholar Educator Professor (or “Full Professor”) is granted to faculty members who have demonstrated the highest level of fulfillment of the University’s ideal of the teaching scholar, actively promoting the well-being of the students, expanding the reputation of the University, and promoting the vitality of the academic community in society. The Scholar Educator Professor will normally have twelve years of collegiate teaching (or acceptable related experience).

3.3. Faculty Appointment Changes

Faculty who switch from a non-tenure-track line at PAU to a tenure-track line can include their professional activities (scholarly products, evidence of teaching and service excellence) in their previous line towards their promotion and tenure at PAU. They will also be provided with a full six-year probationary period to achieve all the standards required for promotion and tenure but can apply before the six-year period under the same circumstances that allow faculty hired into the tenure-track to apply early. Faculty who have had previous years of service have the right to request their mid-probationary review the year after they start their tenure-track position at PAU if they have at least two years of service prior to their tenure line appointment at PAU. These faculty are still only eligible for a single mid-probationary review.

3.4. Co-Terminus Faculty – Clinical Educator

Clinical Educators are essential to the University’s ability to deliver on its mission to advance graduate education at Palo Alto University. The CE designation is provided to acknowledge the critical direct contributions to the education and training of PAU students that are made by staff with this designation. This designation does not change their position as staff. CEs are engaged with university activities in a manner beyond a simple contractor; they contribute to program development, university governance, teach, mentor, engage in advocacy for the university with professional organizations or boards, and/or otherwise engage with internal and external partners to further the mission of the university. Although all staff contribute to the education of students, CEs have extensive direct contact with and impact on students and the job responsibilities of CEs involve a component of teaching, supervision, and/or mentoring of students.

Providing a faculty designation acknowledges that CEs have a terminal degree in a related clinical

field and are using their specialty knowledge of the field to advance the education and clinical training of students. This definition may allow for CEs to be appropriately included in our counts of core faculty for accreditation purposes.

A Clinical Educator's primary appointment as staff at PAU is co-terminus with their Clinical Educator faculty appointment. The co-terminus designation does not thereby convert the staff position to a faculty member on a faculty line.

3.4.1. Initial Designation of Clinical Educator Faculty

The initial designation of a professional staff member who meets the criteria described as a clinical educator at the Instructor or Assistant Professor rank can be made at the time of hire at PAU or at a later date. Requests for the appointment of a clinical educator are initiated by the staff person's immediate supervisor (e.g., clinic director, department chair). Requests from supervisors are submitted to the CAO. The CAO reviews the request and determines whether the staff person meets the definitions in this handbook. The CAO sends a letter to the staff member, their supervisor, and People Operations with their determination.

3.4.2. Initial Appointment of Clinical Educator Faculty with Advanced Rank

A request for an initial appointment as Clinical Educator Associate Professor or Clinical Educator Professor is submitted to or initiated by the CAO, who refers the matter to the Clinical Educator Review Committee (CERC). The CERC will provide a written recommendation regarding whether to (a) grant the designation and (b) at which rank, with an explanation of how the staff person's job responsibilities and existing credentials either meet or do not meet the CE definitions and criteria for ranks. The CAO will make a determination of whether to approve the appointment and will send a letter to the supervisor, staff member, and People Operations. If the CAO does not accept the recommendation of the CERC, the CAO will document their reasoning in the letter. The staff person can file an appeal through the procedures outlined in this handbook.

3.4.3. Clinical Educator Faculty Ranks

3.4.3.1. Clinical Educator Instructor

Clinical supervisors and professional staff who are at least 51% FTE and are assigned the rank of Clinical Educator Instructor whose primary assigned job duties and responsibilities involve providing supervision, teaching, and/or mentoring.

3.4.3.2. Clinical Educator Assistant Professor

Clinical supervisors, clinic directors, training directors, and professional staff in a related clinical field who are at least 51% FTE are assigned the rank of Clinical Educator Assistant Professor based on the criteria below. Their assigned job duties and responsibilities may involve any combination of the following:

- Supervision
- Developing training programs
- Teaching (courses, practicum didactics, and other training)
- Research and scholarship
- Research mentorship (e.g., as dissertation chair or reader/member) · Field placement oversight
- Monitoring student outcomes
- Service on university/department/program committees, working groups, and/or task forces
- Design, management implementation, and evaluation of the program's administrative activities (e.g., policies and procedures for student admissions, student evaluations, arrangement and evaluation of practicum experiences) and for its educational offerings (e.g., coursework, practicum experiences, and research training)
- Mentorship and academic advising
- Outreach activities

Appointment or promotion to Assistant Professor as a Clinical Educator will require evidence of promise, adequate training, and depth of knowledge in a particular specialty, and capacity to provide high-quality performance in the domains required by the CE's position, which may include any combination of the list above.

3.4.3.3. Clinical Educator Associate Professor

A Clinical Educator Associate Professor is a clinical supervisor, clinic director, training director, and/or professional staff with a terminal degree in a related clinical field who is at least 51% FTE. The major criterion for appointment, reappointment and promotion for Clinical Educators is excellence in the overall mix of clinical care, teaching, administration and/or scholarship appropriate to the individual CE's job duties and responsibilities. A Clinical Educator Associate Professor will be known for their leadership and service roles among professional colleagues at the regional, state, and/or national level for the individual's particular expertise, and will contribute to the department, program, division, and/or institution in a significant fashion. Clinical Educators engaged in clinical practice should have developed reputations among professional colleagues and critics as able practitioners.

Appointment or promotion to the rank of Associate Professor typically occurs after six years of service at the Assistant Professor rank, including service at other institutions.

3.4.3.4. Clinical Educator Professor

A Clinical Educator Professor is a clinical supervisor, clinic director, training director, and/or professional staff with a terminal degree in a related clinical field who is at least 51% FTE. The major criterion for appointment, reappointment and promotion for Clinical Educators is excellence in the overall mix of clinical care, teaching, administration and/or scholarship appropriate to the individual CE's contract/workload agreement. For appointment or promotion to Clinical Educator Full Professor, the individual will be known for their leadership and service roles among professional colleagues at the national level for the individual's particular expertise, and will contribute to the department,

program, division, and/or institution in a significant fashion.

A Clinical Educator Professor will normally have twelve years of relevant experience.

3.5. Contingent (Adjunct) Faculty

Contingent (adjunct) faculty are essential to the core mission of the university, providing expertise not fulfilled by full time faculty and augmenting the number of courses that can be offered at a given time. Individuals who have contingent faculty appointments are required to have a graduate degree in the discipline and instructional expertise appropriate to the course(s) they are hired to teach.

Contingent faculty refers to part-time faculty and full-time faculty hired on a per course basis, or on short fixed-term contracts, ranging in length from one term to an academic year. Contingent faculty appointments do not automatically renew. Contingent faculty appointments are not eligible for tenure. Contingent faculty appointments are for one or more of the following purposes: to replace faculty on leave of absence or administrative assignment; to address persistent programmatic need on a part-time basis; to address short-term programmatic need on a full-time basis; to provide expertise in a specialty area; or to explore a new instructional area.

Contingent faculty have a stepped system of advancement based on the number of courses taught at PAU and demonstrated effectiveness. Voting status is based on the number of courses taught over time.

3.5.1. Initial Appointment of Contingent Faculty

All requests for the need for faculty appointments must be approved by the CAO. The initiating department chair should provide a statement of need for contingent faculty, including the course(s) to be taught, estimated enrollment, and the impact on the students and department if the course(s) and/or section of the course(s) is not offered.

Once the department budget is approved and provided to the department, Department Chairs or their designee must follow the university processes for hiring contingent faculty. A curriculum vitae must be submitted for each individual identified for a contingent faculty appointment. Additional supporting documentation and a background check may be required. The offer letter for appointment of a contingent faculty member will indicate the academic term(s) and the course(s) assigned and will state that their appointment is not eligible for tenure.

The offer letter for appointment of a contingent faculty member will indicate the academic term(s) and the course(s) assigned, and will state that their appointment is not eligible for tenure.

3.5.2. Contingent Faculty Ranks

3.5.2.1. Instructor

Initial appointment for contingent faculty will be at the level of instructor.

3.5.2.2. Senior Instructor

Contingent faculty with a minimum of nine (9) quarters or 27 units within six years of teaching service at PAU, who's teaching is consistently deemed "good" or better on PAU's course evaluation instrument, and who has documentation of a process of self-reflection and professional development in teaching while at PAU is eligible for the rank of Senior Instructor.

3.6. Other Faculty Appointments

3.6.1. Visiting Faculty

Visiting Faculty are temporary appointments reserved for faculty who typically have a primary appointment at another institution, and would like a temporary affiliation at PAU. These appointments are typically for faculty on a leave of absence from their home institution.

The rank of Visiting Faculty is determined by the rank held at their home institution or, if there is no home institution rank, by their status in the field (e.g., Associate Professor of Practice or Professor of Practice). Rank for visiting faculty without an academic home institution will be determined by the CAO in consultation with the faculty of the hosting department. Length of appointment can vary from one quarter up to two academic years.

3.6.2. Affiliate Faculty

Affiliate Faculty appointments are made by the president or CAO for individuals who: 1) have demonstrated excellence in scholarship, teaching, clinical practice, and/or service to the profession and the community; 2) have been requested to participate in a grant, externally funded research or project with PAU; and 3) who hold the credentials appropriate to the grant and/or project. Affiliate Faculty appointments terminate at the conclusion of the grant or project, or when their work with the grant or project concludes.

3.6.3. Distinguished Professor (President Appointed)

This special rank is bestowed upon highly recognized professionals (i.e., researchers, clinicians, faculty, etc.) who have made significant contributions to the field and are still active in the field. These esteemed colleagues will bring heightened visibility to PAU nationally and/or internationally. Faculty in these appointments will conduct research, teach and/or engage in service to the profession. Distinguished Professors are appointed by the President of PAU for a period of one or two years (renewable), after consultation with the faculty and a review of external letters.

3.6.4. Emeritus Status

Any full-time faculty who retires after ten years full-time equivalency at the rank of university professor or associate professor and who has rendered distinguished and meritorious service to the university, may be appointed Professor Emeritus/Emerita by the President after recommendation by the members of the department faculty to which the retiring member belonged, and approved under presidential authority by the CAO. The retiring professor should have been rated as “exceeds expectations” in annual faculty ratings during the five years immediately preceding retirement and submit an updated curriculum vitae.

Professor emeritus or emerita is a continuing appointment status, inactive until a *rehire* appointment (using the emeritus or emerita title) is approved in paid or unpaid renewable positions for up to one year at a time.

The department chair provides the CAO with a letter summarizing the retiree’s career and the department’s vote and recommendation. The chair’s letter also indicates whether the professor prefers the title to be *emeritus* or *emerita*. If approved, the CAO sends the materials to the university President. Upon approval, a letter from the President notifies and congratulates the professor. In most instances, emeritus status is effective the day following official retirement from the university.

Emeritus professors can reduce their duties, work part-time, or halt all their university activities. Emeritus professors are typically no longer expected to conduct research, attend meetings, and teach classes. Sometimes they retain office space to continue their academic duties which may be in the classroom or administrative.

Under exceptional circumstances, PAU can suspend or remove the title of Professor Emeritus/Emerita should a conflict of interest arise or should the emeriti professor return to paid university employment.

On a case-by-case basis, a nomination for emeritus status can be made after retirement. “Posthumous emeritus” status can be awarded to eligible faculty who die before retiring.

Benefits:

- Email and personal web space, in accordance with current IT resources;
- Borrowing privileges in the University library;
- Can attend university and departmental meetings, but they cannot vote.
- Maintenance of PI or Co-PI status for active researchers as appropriate;
- Continued service on dissertation committees as appropriate;
- Part-time instruction as appropriate;
- Participation, as desired and relevant, in social and ceremonial events at the University; and
- Serve as research mentors for graduate and undergraduate students

3.6.5. Denial of Promotion

Faculty who have been under review for promotion will be notified as soon as possible after the May Board of Trustees meeting for the Academic Year, if they have been awarded promotion or denied promotion. Promotion is a separate decision than a decision for non-reappointment or denial of tenure.

3.6.6. Non-Reappointment

3.6.6.1. Scholar Educator Faculty

Faculty with Scholar Educator appointments will be notified as soon as practicable, typically within 30 days after the final Board of Trustees meeting for the Academic Year, if their appointment will not be renewed due to programmatic reasons or a negative reappointment decision. The university will strive to provide at least 12 months' notice prior to the ending date of the appointment, except when financial exigency or unforeseen financial crises or circumstances beyond the university's control require more immediate action.

3.6.6.2. Tenure Track Faculty

Faculty with Tenure Track and Tenured Appointments will typically be notified within 30 days after the final Board meeting if their appointment will be terminated due to programmatic reasons or a negative reappointment or a negative tenure decision. The university will strive to provide at least 12 months' notice prior to the anticipated termination date, except when financial exigency or unforeseen financial crises or circumstances beyond the university's control require more immediate action.

The university reserves the right to reassign duties or modify the faculty member's responsibilities during the notice period to best serve institutional needs.

3.6.6.3. Visiting Faculty

Faculty with Visiting appointments are for a fixed period (beginning and end date) and are not subject to the same provisions for notice of non-renewal of their faculty title/role.

3.6.6.4. Co-Terminus Clinical Educator Faculty/Staff

Staff with a Clinical Educator designation are not subject to the same provisions for notice of non-renewal of their faculty title/role. As a general rule, the faculty appointment ends when the staff position ceases.

3.7. Faculty Workload

The annual workload for full-time faculty is forty-five (45) units. Annual faculty workload apportionment is determined by appointment category, productivity in research and/or scholarship, and service. All faculty regardless of appointment category are expected to be actively engaged in the discipline in such a manner that affords them the ability to teach current thinking grounded in a historical perspective of the discipline. (See "Examples of Faculty Workload" in [Appendix H.](#))

Tenure Clock Considerations

Any faculty member who becomes a parent while holding a tenure-accruing appointment may request from the Chief Academic Officer a one-year extension of the date the current appointment is scheduled to expire. Only two such extensions are allowed. The CAO will routinely approve such requests, but the Provost's approval does not automatically extend the individual's appointment. Reappointment would be subject to the standard review process, including a departmental vote.

The availability of the option of postponing the date on which the appointment would have expired is not tied to the number of weeks the faculty member was on parental leave, whether or not the faculty person requested a reduced teaching load, or whether the faculty person took a leave without salary for child care. It would apply even if the faculty member became a parent during their off-duty quarter and returned immediately to a regular teaching load.

If a faculty member took a leave without salary in connection with becoming a parent, the faculty person's tenure clock is automatically stopped for the duration of the leave, and they will automatically (i.e., without the necessity of a departmental vote) receive a reappointment equal to the duration of their leave without salary. This stopping of the tenure clock would be in addition to the one-year postponement of the date on which the faculty person would normally have accrued tenure by length of service as described in the preceding paragraph.

Promotion Considerations

Scholar Educator who take parental leave will be given special consideration in the promotion process. The Department Chair will take into account the impact of parental leave on the faculty member's teaching, service, and research/scholarship record. The faculty member may extend their probationary period for up to one year to account for the time taken off during parental leave. In exceptional cases, faculty members may be granted an additional year of probationary status beyond the normal limit.

3.8. Faculty Search and Selection

The ongoing rejuvenation of the faculty is the shared responsibility of the CAO and the full-time faculty of the University. Thoughtful consideration is given to how the faculty PAU attracts and retains support the success of the students we serve, contributes to the body of knowledge in the field, and promotes the reputation of PAU. Ultimately the faculty enables the University to stay current and sustainable in the rapidly changing landscape of higher education.

All faculty searches require prior approval of the CAO before they are initiated. (Please refer to the [Handbook for the Recruitment of Faculty Appointments](#) for the process and procedures in conducting an inclusive faculty search.)

The Office of the Provost and Department of Faculty Success may specify, from time to time, the type and amount of information that should be provided to their office. In order to make the files

complete the CAO may request information on current faculty members where adequate data does not exist. Such information shall be maintained in confidential files privileged from disclosure to anyone except the Office of the Provost, Faculty Success,, President, the People Operations, the affected faculty member, or as required by accreditation reporting and law. It is the responsibility of the respective department Chairs to accumulate adequate evidential material, as required in this statement or as requested by the CAO, and to see that it is made available to the proper office as warranted.

4. FACULTY RESPONSIBILITIES

The single presumption central to faculty rights and responsibilities is that faculty members are bound by and honor the personal and professional ethics of the profession. In essence, these ethics reflect the commitment to:

- Contribute to the intellectual, professional, and personal development of students;
- Merit the reputation of fairness, honesty, and impartiality in the performance of all the evaluative or judgmental aspects of academic duties;
- Earn the respect of peers and others for professional excellence and assume a fair share of institutional service; and
- Be accorded the dignity, rights, and privileges that are traditionally associated with the honorable calling of higher education.

4.1. Faculty Responsibilities and Specific Duties

As members of the university community, faculty members have the responsibility to:

- Constantly strive to improve their teaching methods and their competence within their specific specialty;
- Protect the academic as well as the personal privacy of students;
- Render services to the school such as student advisement, committee membership, curricular improvement, assistance to student groups, and service on dissertation and thesis committees (attendance is expected at regularly scheduled committee meetings); and
- Know and adhere to all University policies and procedures.

4.1.1. University Citizenship

Consideration of equitable and inclusive University citizenship is part of the established evaluation areas of teaching, scholarship, and service and is not to be evaluated as a separate area.

Responsible citizenship consists of attitudes and actions that show respect for one's faculty and staff colleagues as well as for students. Responsible citizenship recognizes that as members, we work collectively with other faculty and staff as part of a learning community to help further the goals of excellent teaching and advising for students, rigorous scholarship, and productive service. Faculty should acknowledge that a deficiency in or complete lack of citizenship can directly and negatively impact their performance in teaching, scholarship, and service.

Professional disagreements among colleagues are not inconsistent with quality university citizenship. However, all faculty members are expected to express those disagreements in a professional and respectful manner.

Faculty should not let personal biases and/or disagreements impact their department, students, or the University as a whole. Issues pertaining to citizenship should not be used to discriminate on any basis prohibited by the University's Policy on Academic Freedom ([AAUP](#) and [PAU Employee Handbook](#) links) and should not be used to promote orthodoxy of opinion on academic matters.

4.1.2. Teaching

Excellent teaching is central to the University's mission, and each faculty member plays a vital role in carrying out the mission of the University by challenging and encouraging students to become life-long learners.

The teaching/learning process is broadly defined. It is the responsibility of the faculty member to create an environment that facilitates the learning process. The effective teacher makes the subject inviting, challenges students to think critically, organizes the course content and materials to engage students and enhance the teaching/learning process, and evaluates students' progress toward specific outcomes and goals. The effective teacher knows their students, is responsive to them, is available for consultation, welcomes questioning and opposing views, uses a variety of teaching methods that are suitable for the course and incorporates new developments in the field.

Faculty are expected to teach within their areas of competence. They are presumed to be experts in their fields and qualified professionally to assess student performance. Grades, therefore, are not subject to alteration except in the case of extenuating circumstances. (Please see the [Student Handbook](#) for an explanation of how students wishing to appeal a grade should proceed.)

Teaching refers to instructional activities that include course delivery, academic advising, directing research labs, clinical supervision and training, dissertation advising, and serving on dissertation committees. Teaching workload may increase or decrease over the course of an appointment depending on institutional needs and the scholarship productivity of the faculty member.

Faculty are required to ensure that the course learning outcomes are designed to meet the outcomes of the program they are teaching in. Faculty should obtain a copy of the Program Learning Outcomes from their department chair/associate department chair to ensure that their outcomes are in alignment and help to meet the overall program, department, and institution objectives. In turn, their

assessment objectives should be consistent with their course outcomes. Their course outcomes, graded assessments, and their grading rubrics should be published in their Canvas course, assessment site, and/or course syllabus so that they are transparent and well communicated to students.

4.1.2.1. Course Load

Teaching load requirements vary by faculty appointment and role. Tenure-track and tenured faculty members are required to teach 18 units per academic year, while Scholar Educator faculty are required to teach 36 units per academic year. These teaching loads reflect the university's commitment to balancing teaching excellence with research, scholarship, and service responsibilities.

Faculty members with administrative appointments or significant research and/or service responsibilities may receive adjusted teaching loads as specified in their contracts. Any reduction in teaching load must be documented and approved by the CAO.

The university reserves the right to cancel any course with fewer than ten (10) enrolled students. If a course is cancelled due to low enrollment, the faculty member will be assigned an alternative course to fulfill their teaching load requirement. Department Chairs will work with faculty to identify appropriate alternative course assignments when necessary. Faculty should be prepared to teach other courses within their area of expertise to maintain their full teaching load in the event of course cancellations.

Annual teaching assignments are determined by the Department Chair in consultation with faculty members, taking into consideration program needs, faculty expertise, and any approved load adjustments.

4.1.2.2. Office Hours

Faculty must post and maintain a minimum of four (4) office hours per week spread across at least two days. In addition, faculty must be willing to schedule appointments with students in their classes who cannot meet during posted hours due to conflicts with other courses. Office hours may be conducted in person or via teleconference, whichever is determined by the respective program to be most appropriate for the structure of the program and its students. Notice of such hours will be posted (e.g., on the faculty members' webpage, in course syllabi, on the office door of the faculty member) and filed with the Department Chair.

4.1.2.3. Syllabus Policy

Course syllabi are considered contracts between the faculty, the students, and the institution. Each class is to be provided with a syllabus outlining goals or learning outcomes, the course schedule, readings, assignments, a timetable for examinations, the method and criteria for grading, and the means by which students can contact the faculty member outside the classroom. Course instructors should utilize the syllabi templates and incorporate current syllabus requirements. (See the [Office of the Provost website](#) for current syllabus requirements.)

4.1.2.4. Use of the Electronic Course Management System

All faculty are required to utilize the University's designated Electronic Course Management System for each course that they teach for the University. At minimum, course syllabi and relevant course materials should be posted on the designated electronic course management system (see "[Classroom/Instructional Technology Resources](#)" on the CEE Canvas Course).

4.1.2.5. Grading

Authority and responsibility for assigning and changing grades rests with the instructor of record. No member of the faculty or of the administrative staff of the University may solicit a teacher or apply pressure to award a particular grade or change a grade once given. After a grade has been filed with the Registrar, it shall not be changed except to correct a computational error, an error in transcription or other procedural error, or to comply with Policies and Procedures on Student Appeals of Grades and Policy on Unlawful Harassment and Unlawful Discrimination.

See the [University Catalog](#) and [University Student Handbook](#)).

A grade should be an accurate, fair, and timely evaluation of a student's work and should not be affected by irrelevant or extraneous factors.

All students must receive a final grade for academic courses, including internships, independent readings, directed research, and dissertation load **by the deadline communicated by the Office of the Registrar** to faculty via their university e-mail address. Instructors must submit all grades via the University's electronic grade submission portal. Failure to submit grades by the deadlines can negatively impact students' academic progress, financial aid, employment, and other opportunities.

See the [University Catalog](#) and/or [Registrar's Office](#) for policies on grade values for calculating GPA, incompletes, withdrawing from a course, etc.

4.1.2.6. Faculty Absence from Class

Instructors are responsible for meeting their classes regularly and at scheduled times according to the University calendar. In the event of illness or an emergency, instructors must notify their department chair. If their department chair or associate department chair is not accessible by phone or email, faculty should notify the Office of the Provost and Academic Affairs so that suitable action may be taken. Instructors who will be absent from campus during a regular workweek for professional reasons (e.g., to attend a conference), religious observances, etc., while classes are in session shall inform the Department Chair of these activities in advance. **Classes cannot be canceled under these circumstances**; instead, the instructor must find a replacement or present an alternative instructional plan (e.g., timed assignments via blackboard, have a colleague monitor a guest speaker, provide for a take home exam or assignment) and communicate such with the Department Chair.

It is the responsibility of each faculty member to be present in the classroom for the first day of the

course and take attendance. The faculty member should notify the Registrar and department manager of any students who are on the class list and have not attended three (3) consecutive classes, and students attending class but not on the course list.

4.1.2.7. Student Advising

Advising students on a range of issues, including selection of an academic program, course sequence, performance in courses and in clinical training, and preparation for a career is the essential complement to effective teaching inside and outside the classroom. Advising of students should be equitably distributed among faculty members within the department. Full-time faculty and selected part-time faculty provide academic advising to matriculated students at all levels. Advisors are assigned students each year. The student will be notified of their faculty advisor and will be encouraged to make an appointment.

The role of the faculty advisor is to help the student plan their academic career and fulfill all the requirements necessary for graduation. Advisors are expected to:

- be welcoming to their advisees;
- be available for consultation;
- be responsive in returning advisees' phone calls and emails;
- offer academic advising as appropriate;
- initiate contact with students who are evidencing academic, clinical, and disposition difficulty and support remediation efforts as identified by other course instructors, site supervisors, the Student Evaluation Committee (SEC) and/or the Department of Student Success;
- complete in-service training as needed or required; and
- assist the students in fulfilling their own primary responsibility for following academic progress expectations.

Academic departments, individual programs, or the Chief Academic Officer may elect to implement evaluations of faculty advisors by their students in a format similar to course evaluations.

4.1.3. Research and Scholarship

Research refers to the systematic investigation into and study of materials and sources in order to establish facts and reach new empirical and peer-reviewed conclusions. Scholarship includes (a) original research (creation of knowledge); (b) integration of knowledge (synthesis and reorganization), (c) application of knowledge, (d) the scholarship of pedagogy, and (e) the scholarship of teaching and inclusive teaching in specific disciplines (e.g., clinical training, statistics and methods, psychology, counseling, etc.). Scholarly activities require high levels of discipline-specific expertise,

are innovative, can be replicated, are documented, can be subject to peer review, and have significance to the discipline and profession. Research or Scholarship workload for tenure track faculty may increase or decrease over the course of an appointment depending on institutional needs and scholarship productivity of the faculty member as reported on the Annual Faculty Activity Report. Scholar Educators may request a portion of their workload for research and scholarship. Approval of the CAO is required.

4.1.3.1. Faculty Eligibility to serve as PI or Co-PI on PAU IRB Protocols

(See policies on PAU's [IRB webpage](#).)

4.1.4. Service

Service contributes to the common good of the University community as well as to the achievement of the University's goals and objectives. Service refers to active participation in the operation of the department and the university in activities essential for student success and shared governance. External service to the profession can also be included, but cannot replace service to the University. Service activities include participating on department and university committees, advising student groups, engaging in admissions activities, and assigned projects. Service workload may increase or decrease over the course of an appointment depending on need or productivity in other areas of effort.

Service is an essential criterion in determining the effectiveness of fulfilling faculty responsibilities. The Chief Academic Officer in consultation with the Department Chair and the University Faculty Review Committee will establish definitions and methods of evaluating service.

4.1.4.2. Department and University Service

Service contributes to the common good of the University community as well as to the achievement of the University's goals and objectives. All full-time voting faculty have the right and responsibility to participate in department and university service. Service includes active involvement in University Committees, department committees, program specific committees, Faculty Senate, select student activities, and as engaged participants in decision-making processes pertaining to University concerns.

Part-time and contingent faculty have the right to participate in department meetings, department and university committees, and other decision-making processes pertaining to University concerns on a voluntary basis.

Committee work and special University or program assignments require diligent attendance, planning, and active contributions from each faculty member. Service is an essential criterion in determining the effectiveness of fulfilling faculty responsibilities. Faculty Review Committee, Department Chairs, and the CAO will establish definitions and methods of evaluating service.

Part-time, contingent, Distinguished, and Visiting professors/faculty have the right to participate in department meetings, department and university committees, and other decision-making processes pertaining to university concerns on a voluntary basis.

4.1.5. Curriculum

Generally, faculty have primary responsibility in regards to the curriculum. The University Curriculum Committee sets curriculum policies, reviews course revisions, new course proposals, and program revisions for their academic value, alignment with the mission of PAU, and possible duplication across programs. The committee may propose modifications.

Curriculum revisions will need approval by the CAO and new proposals that have resource requirements will need approval by the Board of Trustees for final adoption. (See MyPAU Portal for instructions and forms)

4.1.6. Faculty Availability and Response Times

Faculty members receive 12-month compensation and benefits, though their primary workload is defined by the academic calendar. The academic year consists of Fall, Winter, and Spring quarters and represents the formal workload period when faculty must fulfill their teaching, service, and other professional obligations.

All faculty members must respond to students' phone and email contacts within 3 business days of student transmission, except when they are out of the office (e.g., illness, bereavement, conference attendance, religious observances). Faculty are expected to set up an automatic out-of-office reply for periods in which they anticipate being out of the office, including off-workload periods. The out of office message should indicate when the faculty person will be available (when known) and provide appropriate alternate points of contact for assistance with administrative matters.

While classes are in session, faculty must fulfill all essential academic and administrative duties according to university deadlines, including timely submission of grades and participation in scheduled committee work. During summer months, faculty are typically off workload unless they have specific summer teaching or administrative assignments. Even during off-workload periods, faculty should maintain appropriate communication through out-of-office messages that direct urgent matters to appropriate university contacts. When possible, meetings that are not time-sensitive will not be scheduled during breaks between academic quarters. When faculty are on workload, they are expected to be responsive to time-sensitive matters.

4.2. Instructional Policies and Practices

PAU is a private university that receives federal and state financial support for students' tuition and fees and is therefore required to comply with federal and state guidelines pertaining to higher education. It is the responsibility of all faculty to be familiar with and guided by the following policies outlined in the University Catalog and University Student Handbook.

5. FACULTY RIGHTS AND PRIVILEGES

5.1. Faculty Rights

5.1.1. Academic Freedom

All faculty are entitled to the exercise of academic freedom.

The University's policy on academic freedom is that of the 1940 Statement on Academic Freedom and Tenure with 1970 Interpretive Comments, adopted by the American Association of University Professors and the Association of American Colleges, with no limitations imposed by the specific aims of the University. The statement, as revised by the two associations in 1989 and 1990 to delete gender-specific references, is given in [\[Appendix B\]](#) of this Handbook.

5.1.2 Faculty Grievance Policy

This policy establishes the rights of faculty members to seek redress of grievances through an informal and formal process. Any member of the faculty may file a grievance for a violation of rights provided by federal, California or local employment law, or by established written University policies including those contained in the Faculty Handbook, Employee Handbook, or by the faculty member's letter of appointment and/or annual workload agreement. For concerns about specific policies or lack of policy, please see the documents listed previously as well as the Faculty Senate website for information on shared governance.

5.1.2.1. Grievances

A grievance may challenge an act or failure to act by an administrative officer or faculty member acting in a supervising capacity that adversely affects the filing faculty member in a material (not trivial) way in their PAU employment (including professional or academic) capacity. This is called an "adverse employment action."

The grievance process may not be used to challenge a policy of general applicability on the ground that it is unfair or inadvisable; nor may it be used for instances that do not adversely affect a faculty member, unless such instances, taken together, amount to an adverse employment action.

A grievance may allege that:

1. A written University policy, procedure, rule, or agreement has been violated and that the violation; or
2. The faculty member has been treated inequitably by the University based upon a legally protected status, when compared to similarly situated faculty members.

Grievances relating to reappointment, promotion or tenure are limited to issues that:

1. The faculty member was not fairly evaluated because of procedural defects (including inadequate procedural considerations) that materially and adversely affected the review process.
2. The faculty member was not fairly evaluated on their merits because the decision was based significantly on considerations irrelevant to service to the University as a faculty member (such as violation of academic freedom or bias or prejudice based on considerations prohibited by law; or tenure was [revoked in violation of the terms of the Faculty Handbook](#)).

5.1.2.2. Grievance Exclusions

Excluded from this policy are grievances that relate to:

1. Allegations of an instance(s) of illegal discrimination and/or harassment that do not rise to the level of an adverse employment action can be the basis of a complaint under other existing University policies (e.g., sexual harassment, discrimination based on race, gender, gender identity, sexual orientation, national origin, religion, age, disability, or veteran status);
2. Dissatisfaction with existing University policies. (Misapplications of policy as it relates to a specific individual(s) is considered a grievance);
3. Negative evaluations of an individual faculty member's professional work as a result of a process that adhered to University process and procedures; and
4. Dissatisfaction with a compensation decision, except where a compensation decision or set of compensation decisions is part of a pattern of conduct that, taken as a whole, may constitute the basis for a grievance.

5.1.2.3. Resolving Faculty Grievances

Informal Faculty Grievance Procedures

1. Efforts should first be made to resolve the grievance at the department level and/or at the university level through correspondence, conversation, and/or facilitated conversations.
2. Following efforts at resolution at the department or university level, the grieving faculty member or the person whose action or failure to act are at issue may request an informal facilitated conversation by a mutually agreed upon internal or external party.
3. If informal efforts are unsuccessful in resolving the issue, or if the faculty member chooses not to pursue informal efforts, the grieving faculty member may file a formal written complaint. See Step 1 of Formal *Faculty Grievance Procedure*.

Formal Faculty Grievance Procedure

Step 1:

A written grievance by a faculty member is filed with the Grievance Officer (TBD-see description, role, and functions below), by which the faculty member asserts facts qualifying the matter as a grievance as defined above. A copy shall be delivered to the Chief Academic Officer and the person whose action or failure to act is placed in issue. A grievance shall be filed within 120 calendar days from the time the alleged violation became known to the grieving faculty member or reasonably should have become known.

Step 2:

The Grievance Officer shall refer the grievance to the Faculty Senate Chair, who shall nominate to the President one of the faculty members who has demonstrated the ability to act in an impartial manner to serve as Grievance Hearing Panel Chair. If the Faculty Senate Chair is a party to the alleged grievance, the Grievance Officer will refer the grievance to the Faculty Senate Vice Chair who will fulfill the responsibilities of the Faculty Senate Chair in the matter. The President shall have the right to decline the nomination.

The Grievance Hearing Panel Chair, with input from the Grievance Officer, shall select two other faculty members to serve on the panel. The faculty member filing the grievance and the person whose acts or failure to act are at issue shall be provided an opportunity to offer feedback about the selection of the Panel Chair and the panel based on concerns about impartiality. If there is an inability to select all or part of the panel from existing faculty, the CAO may select an external member(s), and the same opportunity to offer feedback based on concerns about impartiality shall be provided.

- In designating the members of the Hearing Panel, the Chair shall endeavor to select a balanced group, no member of which is likely to have an interest or potential bias in the matter or to otherwise be unsuitable or unavailable for service.

Step 3:

The Grievance Hearing Panel shall meet with the grieving faculty member and others with knowledge of the matter. Within 45 days of grievance filing, unless unusual events dictate otherwise, the Grievance Hearing Panel Chair shall transmit a written report and recommendation to the Grievance Officer.

Step 4:

The Grievance Officer shall discuss the report and recommendation with the grieving faculty member and the Faculty Senate Chair and the President

Step 5:

The President shall then issue an intended decision on the grievance. If the intended decision of the President departs in a substantial manner from the written report and recommendation of the Grievance Hearing Panel, the President shall explain in writing the reasons for such departure to the Grievance Hearing Panel. The intended decision of the President shall be final unless within 30 days in writing, the grieving faculty requests the President to reconsider. If within 30 days thereafter, the President does not issue a final decision, the intended decision shall become final.

5.1.2.4. Retaliation to a Filing of Grievance

There shall be no retaliation against a faculty member for filing a grievance and retaliation itself is a violation of PAU's core values and policy. (See Whistleblower policy in the Employee Handbook.)

5.1.2.5. Grievance Officer

Individuals who serve in the role of a Grievance Officer (GO) are respected professionals with extensive experience in higher education. GOs are individuals with the skill to manage the grievance procedures with fairness, impartiality, and confidentiality. Candidates for the position may include senior faculty, emeriti faculty, staff, retired members of the university, and individuals external to PAU.

The GO is appointed by the president after a process of nomination and discussion with the Faculty Senate for a term of one year. A GO can serve for more than one term. The GO will report to the CAO or the President if the CAO is party to the assertion of grievance. If the Grievance Officer is a party to the grievance the President will appoint another Grievance Officer.

5.2. Faculty Privileges

5.2.1. Additional Teaching

5.2.1.1. Instructional Overload

Faculty members who agree and are approved to teach courses in excess of the normal load for the year shall be compensated beyond their salaries for the academic year.

Faculty who have been provided course release related to additional service, supervision, and scholarship (e.g., administrative assignments, special projects, grants, etc.) are eligible to teach 4.5 units of overload per academic year.

Faculty who have no course releases are eligible to teach nine (9) units of overload per academic year.

5.2.1.2. Summer Teaching

Full-time faculty members, except Visiting Professors on academic year contracts, will be given first consideration in the selection of instructors for the Summer Session. Faculty who are interested in teaching in the Summer Session should inform their Department Chair as early as possible in the year. For cases in which more faculty members are interested than there are courses available, Department Chairs will first consider areas of expertise of available faculty and then will use a rotating assignment of Summer Session courses/positions to ensure equitable assignments. Contractual arrangements to teach in the Summer Session are issued by the Department of Faculty Success and People Operations independently of the academic year workload agreements. There is an element of risk in predicting an adequate enrollment; offerings are subject to cancellation if the established minimum number of students do not register.

5.2.2. Faculty Development

Faculty development is an ongoing investment in the professional growth of the faculty of the University over the course of a career, beneficial to individual faculty members, to the students we serve, and to the University in the areas of teaching, scholarship, and service.

5.2.2.1. New Faculty Development Program

The New Faculty Development Program is a two-year program designed to support new faculty during their entry years at PAU. During the first year, full-time faculty will have a reduced teaching load equal to one course (max of 4.5 units), participate in new faculty orientation, and attend four to six sessions over the course of the academic year designed to support their success at PAU. In the second year of the program, new faculty will participate in a writing retreat and attend three workshops over the course of the academic year. Workshop topics include teaching and learning, advising students, assessing student learning, preparing a reappointment file, balancing teaching, scholarship and service, and so forth.

5.2.2.2. New Faculty Second-Year Meeting

At the end of the second academic year, new faculty on faculty lines will meet with the CAO, immediately followed by a joint meeting with the CAO and their department chair, to discuss how the first two years have been in their teaching, scholarship, and service, and in general at PAU. The primary purpose is to provide support that will ideally ensure the new faculty members' success at the University.

5.2.2.3. Junior Faculty Development Leaves

Junior Faculty Development Leaves are intended to support the professional development of tenure track faculty in preparation for their application for tenure and promotion.

Following a mid-probationary review resulting in a recommendation for continuation through the

probationary period, a tenure track faculty member is eligible for a leave of one quarter at full salary to advance his or her scholarship or teaching as appropriate to each case. This leave is to be completed no later than the penultimate year before the faculty member petitions for tenure and promotion.

5.2.2.4. Faculty Development Workshops

Workshops for faculty will be offered throughout the academic year. Workshop topics include but are not limited to inclusive teaching, grant writing, and assessing student learning.

5.2.2.5. Faculty Research Funds

There is an annual pool of monies available to support faculty research expenses from the Office of the Provost. Priority is given to tenure track Assistant Professors and Teacher Scholar Assistant Professors, as well as to research projects that have few to no avenues for external funding. The Faculty Research Committee will review applications for research funds and make recommendations to the CAO. Approval is subject to budget, IRB approval, and requires final approval of the CAO.

The expectation in granting a research fund is that it be used to fund direct research expenses (e.g. travel, conference fees, publications, and student research assistance), to help the faculty member develop external funding from other sources, and to support such “public goods” as lectures, conferences, visitors, support for graduate students, course enhancements, etc.

When a research fund is awarded, the faculty member is provided with his/her own research fund allotment. It is the responsibility of the faculty members to get reimbursed and track their own balances.

Allowable Research Expenses

- Human Subjects, Prize Recipients, and Award Recipients - Payments to human subjects, prize recipients, award recipients, and standardized medical patients must go through the Business Office.
- Payment of Honoraria – An honorarium payment is a gratuitous payment to a lecturer or a professional person outside the University community (not a University faculty or staff member) as an expression of thanks. It is taxable income and is reportable to the IRS if the sum of annual payment(s) to the vendor exceeds \$600.
- Equipment Restrictions – Faculty members may not purchase equipment. All equipment purchases should be requisitioned through the Business Office.
- Computer Restrictions – Faculty members may not purchase computers, printers, etc. All computer purchases should be procured through ITS.
- Third Party Payment Restrictions – Under no circumstances may an employee pay a third party for services rendered (e.g. independent contractor, caterer, photographer, human subjects, etc.) and then seek reimbursement for the amount. This practice is not allowed, primarily for tax reporting and insurance reasons.

- Hourly research assistance – Students or part-time staff must be hired through the University, and a hire action must be submitted before they begin work on a faculty member's research project. When completing the Request to Hire (RTH), please indicate that you will be utilizing either Faculty or Research Funds on it. In addition, please indicate the amount of funds from your allotment that should be allocated for the student assistant's work.
- Research related software – Please confirm that the University does not already have a site license for the software you are intending to purchase
- Supplies for conducting research
- Books/subscriptions related to research
- Research related professional services – In order to have the University pay for contracted services with an individual we will need to have a Professional Services Agreement (PSA) in place with the individual service provider
- Travel to conferences for the faculty member
- Travel to gather data, including travel to libraries and archives
- Travel for research collaboration
- Travel to perform, display, or practice one's scholarly craft in a professional venue
- Internet fees: clearly identified as not in the price of a hotel and necessary for research
- Visa fees
- Page/publication charges
- Book subventions
- Maintenance or repair of research equipment
- Rental of space or equipment necessary for research

Not Allowable Research Expenses

- Faculty stipends, including summer salary
- Printers
- Travel and/or expenses for students
- Travel for non-research essential individual
- Flight insurance
- Expenses dated before a faculty member's contract dates or academic year funds were allocated.
- Payments for goods or services paid for using reward points or loyalty program
- Fees related to cancellation or change of itinerary for personal reasons
- Expenses from a previous fiscal year: AU fiscal year runs from July 1 through June 30 each year.
- Accident insurance (e.g. car rental insurance)
- Commuting costs to/from home, and normal place of business
- Passport renewal or new passport fee
- Advertising or public relations

Faculty members have discretion in allocating the funds, but all charges made to the account must meet three conditions:

1. The charge must be for a research expense or a “public good” for a PAU course, department,

program, or school. IRS regulations preclude the Faculty Research Fund from being used to support personal expenditures of the faculty member.

2. Only expenditures allowed under these guidelines may be charged to a Faculty Research Fund.
3. Only expenditures properly processed in accordance with these guidelines may be charged to a Faculty Research Fund. Please note that proper processing includes providing adequate documentation (e.g., receipts, business purpose, etc.). Also, please note that reimbursement requests must be submitted to OAA within 60 days of purchase and/or the travel end date.

If any one of the three conditions above is not met, faculty will be personally liable for payment. Faculty should check with the DASA Budget Manager before incurring any expense to ensure that the charge is allowable and to determine the proper procedures in which to purchase such items or seek reimbursement.

Research funds are allocated to faculty to be used within the current fiscal year. Within this period, unused funds will not be rolled over to the next year.

Use of approved research funding must follow the following University policies:

[Procurement & Payment Policy](#)

[Travel & Entertainment Policy](#)

[Delegation of Authority](#)

5.2.2.6. Faculty Development and Travel Funds

The University recognizes that members of its faculty are interested in attending conventions/conferences of learned or professional societies as a means of keeping abreast of their fields of teaching and research, maintaining clinical licenses, and engaging in professional development and the University will, within its financial resources, strive to support such attendance.

There is an annual pool of monies available to support faculty development, travel, conference, licensing/certifications, and professional training from the Office of the Provost.

Full-time faculty members (tenure track, teacher-scholars, scholar-educators, and visiting professors) are eligible to be reimbursed for expenses, up to \$3000 each academic year. Reimbursements for travel will be managed by the Office of the Provost and is subject to budget availability. Additional requests will be subject to available funds.

Faculty members who have research grants from sources outside the University are encouraged to provide for their travel expenses from these grants.

Use of Faculty Development funding must follow the following University policies:

[Procurement & Payment Policy](#)

[Travel & Entertainment Policy](#)

[Delegation of Authority](#)

5.2.3. Sabbatical Leave

A sabbatical leave is awarded for the intellectual and academic enrichment of the faculty member and for the benefit of the University through improved teaching and scholarship. Projects suitable for a sabbatical leave include research leading to a product appropriate to the discipline, such as a publication or curricular or pedagogical development that will enhance the curriculum of the department or University.

A sabbatical leave will not be granted for routine course preparation, respite from usual duties at the University, or the improvement of one's financial circumstances through remuneration for teaching, research, or any other employment outside the University. A leave of absence is appropriate to satisfy exigencies of a personal nature.

Faculty members granted sabbatical leave are expected to return to the University at the expiration of the leave for a period of at least one year following the sabbatical leave. A sabbatical leave should not be a terminal extension of a regular term appointment. Under normal circumstances, sabbatical leave may not be taken during the academic year immediately preceding retirement. The period of sabbatical leave counts as service at the University for purposes of advancement in rank and salary.

If the individual expects to receive income during the sabbatical period, it should be in accordance with PAU's consulting policy. Substantial changes in leave plans require approval by the CAO. A faculty member on sabbatical leave may not take a regular faculty or administrative position at another institution of higher education.

5.2.3.1. Departmental and University Planning Considerations

The granting of sabbatical leaves requires advance planning at both the departmental and University levels to ensure fiscal responsibility, continuity of instruction, and equitable access to leave opportunities. Departments must consider budgetary constraints, teaching and service coverage, accreditation requirements, and student impact when reviewing sabbatical requests. To promote fairness and transparency, sabbatical eligibility and prioritization should be guided by years of service since the last sabbatical, overall workload, and the distribution of service responsibilities.

To the extent possible, the Chief Academic Officer (CAO) shall provide guidance at the start of each academic year regarding the number of sabbatical leaves anticipated to be available to each department in the subsequent academic year, based on University-wide budgeting and staffing considerations. This advance guidance is intended to support equitable planning within departments, minimize undue burden on colleagues, and allow faculty to engage in sabbatical preparation with

clarity and reasonable expectation.

5.2.3.2. Eligibility

A tenured faculty member or Scholar Educator at the ranks of Associate Professor and Professor who, at the beginning of the proposed leave, will have completed at least 18 quarters of full-time service since initial faculty appointment (excludes time as a visiting professor appointment) or six quarters since the last sabbatical leave, is eligible to apply for a sabbatical leave. Part-time service does not count toward sabbatical eligibility.

To be counted toward sabbatical leave, fulfillment of specified contractual duties must be met. Time spent on leave without salary, sabbatical leave, leave of absence, periods of full-time research, and full-time non-teaching service are normally excluded in calculating sabbatical eligibility. Faculty on a quarterly calendar may accrue a maximum of 3 quarters towards sabbatical eligibility in an academic year. A fourth quarter of teaching or sponsored research does not add to sabbatical eligibility. The maximum accrual of service towards sabbatical is 36 quarters (12 years). See [Appendix B](#) for the Sabbatical Accrual Table.

Sabbatical leaves should be taken during a single academic year and will not be awarded more frequently than every six years. Exceptions may be permitted in special cases with the approval of the department chair and CAO. To be considered for a sabbatical extending over more than a single academic year, the candidate must present a strong rationale for why this is necessary and the CAO must be assured that the arrangement would not place undue burdens on students or colleagues.

A sabbatical leave is not automatic. The sabbatical proposal is reviewed, evaluated, and passed on with a recommendation for acceptance or rejection by the applicant's department chair to the CAO. The CAO may request modifications in the proposal and/or request additional information. Sabbatical leaves are first reviewed and recommended by the Department Chair, then approved and granted by the CAO.

Eligibility for sabbatical leave continues for every full-time faculty member who returns for at least one full year of full-time teaching before retirement unless illness, injury, or death of the member makes the return impractical or impossible.

5.2.3.3. Application Policy and Procedures

Notification of intent to apply for sabbatical leave during the next academic year is to be emailed to facultysuccess@paloinfo.org by the **last Friday in October**. This intent email should be a short email letting the Faculty Success Department know the faculty member's intention that they would like to take a sabbatical during the subsequent AY.

Faculty Success will create a digital case file through the university's current faculty information system (e.g., Interfolio) for sabbatical leave requests. The faculty member must submit their documentation through this system. The information requested will

include:

1. Requested Quarters of Sabbatical Leave
2. % of Pay During Sabbatical Leave
3. Continuous Quarters of Service at PAU
4. Faculty member's updated CV
5. A brief letter of support from faculty member's department chair
6. A proposal (max of 5 pages) that addresses each of the following points:
 - Purpose of your sabbatical (include background leading up to the request, the goals to be obtained, and previous work with the subject(s) on which the sabbatical will focus)
 - Proposed product, publication, presentation or other means of demonstrating that the purpose of the sabbatical is achieved
 - Proposed timeline for activities of the sabbatical [what you will have accomplished by what date(s)]
 - The proposed location for a sabbatical (will you be traveling, or remaining in the area)
 - Sources of external funding that you have been awarded to conduct this sabbatical study
 - How will this sabbatical benefit your work at PAU?

These sections of the proposal are aligned with the criteria on the review rubric used by the Department Chair and CAO, [Appendix A: Sabbatical Application Evaluation Rubric](#). Faculty submitting their materials in Interfolio should meet with their department chair to discuss their sabbatical plan **before** submitting the application.

Deadline to complete sabbatical requests and submit in the university's current faculty information system (e.g., Interfolio) is the **last Friday in November**.

5.2.3.4. Review Process

Once applications are submitted to Interfolio, the Department Chair reviews the materials, completes the review rubric, and provides a letter of endorsement in Interfolio. This step is to be completed by **January 30th**.

The case is then passed to the CAO, who conducts their review using the review rubric. In the event a sabbatical application is denied solely due to budgetary or fiscal constraints, this will be included in the CAO decision letter and shared with the applicant.

5.2.3.5. Report on Sabbaticals

Not later than ninety days following a return to the University, a faculty member granted sabbatical leave shall submit a detailed report on their activities and accomplishments during the leave to the CAO at provost@paloino.edu, with copies to the Department Chair and Faculty Success Department. Reports from prior sabbaticals must be included as part of future petitions for sabbatical leave.

5.2.3.6. Sabbatical Timeline

OAA provides sabbatical planning information (i.e., budgetary and sabbatical backlog information) to departments at **the start of the AY (September)** for the subsequent AY.

1. Faculty interested in applying for sabbatical consult with the department chair regarding feasibility, workload and coverage planning, and the proposed scope of sabbatical activities in **September-October**, before submitting email of intent to Faculty Success.
2. Applicants submit an email of intent to the Office of Faculty Success by the **last Friday in October**.
3. Applicants submit Sabbatical Application to Interfolio by the **first Friday in December**.
4. Sabbatical Application is evaluated by the applicant's department chair*, by **January 30**.
5. Sabbatical Application is evaluated by CAO, pending any requested modifications, by **March 30**.
6. CAO shares Sabbatical Application evaluation and decision with faculty member, Department Chair, and OFS by **March 30**.
7. If sabbatical is granted, faculty submits post-sabbatical report no later than 90 days following return from sabbatical leave.

5.2.3.7. Unused Sabbatical Time

Any quarters of accrued service that have not been utilized for a sabbatical leave will be forfeited when a faculty member ends employment with the University.

5.2.4. Leaves of Absence

At the discretion of the CAO, any member of the faculty may be granted a leave of absence of up to one year's duration for *bona fide* emergency or for other personal reasons, such as to engage in public service, in formal study, in research, in teaching at another institution, or in caring for a family member. A partial leave of absence may also be granted.

A leave of absence may be extended beyond one year only for extraordinary reasons and under conditions to be agreed upon in writing by the faculty member and the CAO. A leave of absence for junior faculty shall not constitute an interruption in the faculty member's probationary service for

tenure or eligibility for an extended contract based on type of faculty appointment unless a written agreement between the faculty member and the CAO states otherwise.

A faculty member on leave of absence does not receive a Letter of Appointment for the period of the leave. Except for life insurance and medical insurance, which the University shall maintain in force, the faculty member shall receive no salary or other benefits during the period of leave, nor shall the faculty member accrue eligibility towards sabbatical, faculty tuition remission, or phased retirement.

A faculty member on a partial leave of absence does receive a Letter of Appointment for the period of the partial leave. Except for life insurance and medical insurance, which the University shall maintain in force, the faculty member shall receive salary and other benefits during the period of leave that are proportional to the partial leave. The faculty member shall not accrue eligibility towards sabbatical or phased retirement.

A faculty member on leave of absence who decides not to return to the University shall notify the CAO in a written statement 30 days prior to the end of the scheduled leave.

5.2.4.1. Limit on Leaves

The total time spent on leave ordinarily should not exceed six quarters in seven years for any member of the faculty. In this calculation, partial leaves will be prorated. Sabbatical leaves, junior faculty development leaves and phased retirements do not count toward this leave limit calculation.

Exceptions to these limitations may be approved by the CAO in consultation with the department chair and in certain special circumstances.

5.2.4.2. Family Leaves

Faculty members at Palo Alto University shall follow the university Family Leave policies outlined in the Employee Handbook. For more information regarding the Birthing/Non-Birthing policies, please contact People Operations and reference: [Family Medical Leave Act \(FMLA\)](#), [California Family Rights Act \(CFRA\)](#), [PAU Employee Handbook Section 6.2 Medical and Family Leaves of Absence](#), and [PAU Employee Handbook Section 6.3 Pregnancy Disability Leave](#).

5.2.4.3 Leaves without Pay

The University may approve a faculty member's request for a leave of absence without pay. A leave granted to enable the faculty member to engage in activities distinct from the faculty member's academic responsibilities at Palo Alto University is designated as non-scholarly leave. Leaves without pay granted to pursue research or teaching activities in another location related to academic responsibilities at Palo Alto University are scholarly leaves rather than non-scholarly leaves. Such leaves are not covered by this policy.

5.2.5. Reduced-time Appointments

At the discretion of the CAO, any member of the faculty may be granted a reduced- time

appointment of no less than 51% for up to four years in cases where all leave options have been exhausted and the leave limit has been reached. Exceptions to these limitations may be approved by the CAO in consultation with the department chair.

A faculty member on a reduced-time appointment will receive a Workload Agreement that reflects the reduced-time specified. Except for life insurance and medical insurance, which the University shall maintain in force, the faculty member shall receive salary and other benefits during the period of the reduced-time appointment that are proportional to the partial appointment.

5.2.6. Outside Consulting, Research, and Clinical Practice

Many faculty have the opportunity to receive recognition and remuneration through consultation beyond their University employment. The nature of the consulting work should be evaluated in terms of its worth as a scholarly experience and should in no way detract from the prestige of the University or the professional stature of the faculty member.

The University obligations of faculty members are complex and the degree to which obligations are met cannot easily be ascertained by time records or publications lists. As a result, the University has established limits on the amount of time that normally can be devoted to outside work. A full-time faculty member may not consult, engage in clinical practice, or participate in compensated external research more than one day per week on average during the contract period of service.

In rare instances, circumstances may warrant an exception to this policy. Requests should be made prior to the period during which consulting will take place. Approval must be secured from the Chief Academic Officer.

It should always be borne in mind that consulting is a conditional privilege granted by the University. As such, the University is the final judge of the appropriateness of the outside activity and whether it unduly compromises the faculty member's primary responsibilities implicit in their contract for full-time employment with the University.

All outside employment, as well as other activities described in the University policy must be disclosed to the Chief Academic Officer.

5.2.7. Communication Channels and Publicity for Faculty Activities

The University seeks, whenever possible, to disseminate and publicize the accomplishments of the faculty for the purpose of attracting future students, raising awareness of the university, and cultivating partnerships. All full-time and core faculty are requested to provide information about their professional activities to be posted on the PAU website. The Office of External Relations works with faculty to gain optimum external and strategic promotion of various activities for both the individual and the institution.

5.2.8. Faculty Representation to External Entities

PAU faculty, when speaking to entities outside the university and when not representing the university in an official capacity, should clarify that their opinions are those of their own and not of Palo Alto University.

Appendix A: Sabbatical Application Evaluation Rubric

The goal of this rubric is to assess the quality, feasibility, and institutional value of faculty sabbatical proposals in alignment with the university's mission: through education, research, training, and service in mental and behavioral health, PAU prepares its students to address pressing and emerging issues that equitably meet the needs of our ever-changing human condition and improve well-being and contributes to just and inclusive communities.

Evaluation Criteria	Exemplary (4) 6 points	Strong (3) 5 points	Developing (2) 4 points	Insufficient (1) 3 points
Purpose and Background	Provides a clear, compelling rationale grounded in current counseling, psychology, or social work scholarship. Demonstrates strong alignment with professional identity development, ethical practice, and PAU's mission. Clearly articulates goals that build on prior scholarship, teaching, or clinical work.	States a clear and relevant purpose with adequate background and feasible goals. Connects to professional growth and/or institutional priorities.	Purpose and goals are partially defined or show weak connection to disciplinary or institutional context.	Purpose is unclear, unsupported, or disconnected from scholarly, professional, or institutional priorities.
Proposed Product, Publication, Presentation, or other means	Outlines a well-developed, feasible, and high-impact product (e.g., peer-reviewed publication, intervention model, curriculum, training, national presentation, or grant submission). Demonstrates innovation and significant contribution to the disciplines of counseling, psychology, or social work.	Identifies a clear and achievable product that contributes meaningfully to the field or profession.	Describes a product or presentation in general terms with limited clarity on scope or scholarly significance.	Lacks a tangible or credible product demonstrating the sabbatical's outcomes.

Timeline and Feasibility	Provides a realistic, detailed, and sequenced timeline with specific milestones and deliverables. Demonstrates preparedness to execute the project within the sabbatical period.	Includes a clear timeline with achievable benchmarks; minor clarification may be needed.	Timeline is incomplete or lacks specificity; feasibility is uncertain.	Timeline is absent or unrealistic, casting doubt on the project's completion.
Benefits to the University	Demonstrates substantial, specific, measurable, and mission-aligned proposed benefits to PAU. Explicitly connects outcomes to education, supervision, multicultural competency, clinical training, community mental health, or important research advances. Strengthens PAU's reputation in advancing social justice, equity, and national/global engagement.	Describes clear benefits to PAU's academic programs, students, or community engagement. Indicates potential contributions to teaching, supervision, or research.	Mentions general benefits without specific links to PAU's mission or specific measurable outcomes.	Does not address how the sabbatical will benefit PAU or its stakeholders.

Scoring Guide

Total Score (out of 30)	Descriptor	Recommendation
27-30	Exemplary – Exceptional proposal with strong alignment to PAU's mission and high potential for scholarly and institutional impact.	Strongly recommend approval.
23-26	Strong – Solid proposal meeting expectations; minor revisions suggested.	Recommend approval.
9-11	Developing – Promising proposal; revisions or clarifications needed before approval.	Not recommended for approval.

0-8

Insufficient – Lacks clarity, feasibility, or institutional alignment.

Not recommended for approval.

Comments

Strengths:

Areas for Improvement:

Recommendation :

☐ Strongly Recommend

☐ Recommend

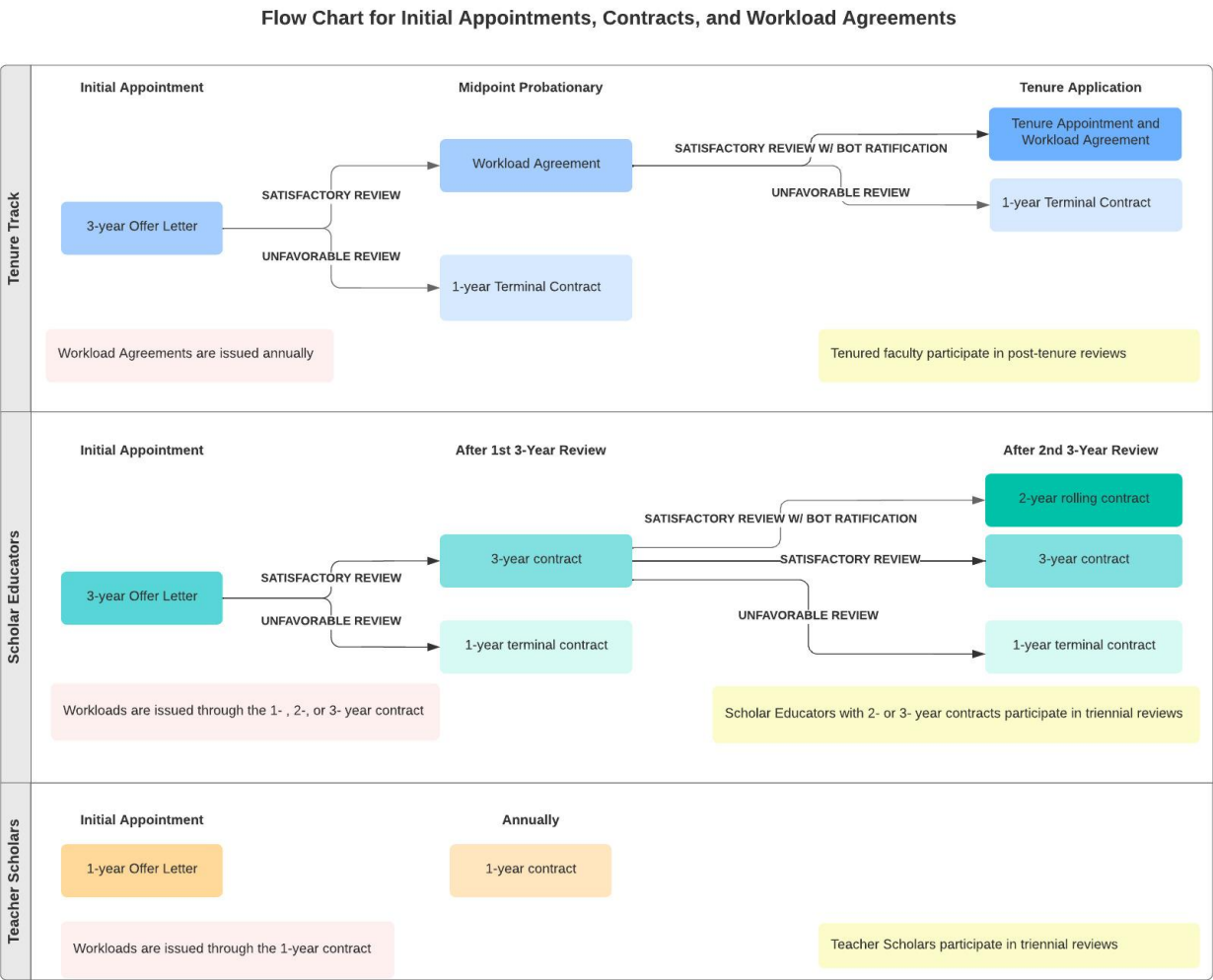
☐ Not Recommended

Appendix B: Sabbatical Accrual Table

Full-time Service Quarters (excluding Summer)	Eligible Number of Sabbatical Quarters	Percentage of Pay During Leave
6	1	50.00%
7	1	58.33%
8	1	66.67%
9	1	75.00%
10	1	83.33%
11	1	91.67%
12	2	50.00%
12	1	100.00%
13	2	54.17%
14	2	58.33%
15	2	62.50%
16	2	66.67%
17	2	70.83%
18	3	50.00%
18	2	75.00%
19	3	52.78%
19	2	79.17%
20	3	55.56%
20	2	83.33%
21	3	58.33%

Full-time Service Quarters (excluding Summer)	Eligible Number of Sabbatical Quarters	Percentage of Pay During Leave
21	2	87.50%
22	3	61.11%
22	2	91.67%
23	3	63.89%
23	2	95.83%
24	3	66.67%
24	2	100.0%
25	3	69.44%
26	3	72.22%
27	3	75.00%
28	3	77.78%
29	3	80.56%
30	3	83.33%
31	3	86.11%
32	3	88.89%
33	3	91.67%
34	3	94.44%
35	3	97.22%
36	3	100%

Appendix C: Flow Chart for Initial Appointments, Contracts, and Workload Agreements



Appendix D: Examples of Faculty Workload for a 9.5-Month AY

Appointment Type	Areas of Effort	Shown in Credits
TENURE-TRACK <i>(full-time; multi-year, ongoing if tenured)</i>	Teaching*	18
	Research^	18
	Service [△]	9
	Total	45
TEACHER SCHOLAR <i>(full-time; one-year appointment, renewable)</i>	Teaching*	27
	Research^	9
	Service [△]	9
	Total	45
SCHOLAR EDUCATOR <i>(full-time; multi-year appointment, rolling 2-year contract possible)</i>	Teaching*	36
	Scholarship^	<i>Possible, not required</i>
	Service [△]	9
	Total	45
CLINICIAN EDUCATOR <i>(part-time or full-time; co-terminus with staff appointment)</i>	Teaching*	Variable
	Service [△]	Variable
	Total	Variable
CONTINGENT/ADJUNCT FACULTY <i>(part-time appointment)</i>	Teaching*	Variable
	Total	Variable
VISITING FACULTY <i>(full-time; one-year appointment, renewable for an additional year unless supported by grant funding)</i>	Teaching*	39
	Total	39

*Teaching workload may increase or decrease over the course of an appointment depending on need or productivity in other areas of effort. (See 4.1.2. Teaching for definition.)

^Research or Scholarship workload may increase or decrease over the course of an appointment depending on need or productivity in other areas of effort. (See 4.1.3. Research and Scholarship for definition.)

[△]Service workload may increase or decrease over the course of an appointment depending on need or productivity in other areas of effort, and include academic advising, graduate admissions, serving on committees, etc. (See 4.1.4. Service for definition.)

Appendix E: New Academic Program Approval Process

Palo Alto University New Academic Program Approval Process Approved May 17, 2019

Process Revision:

11-19-20	Include University Curriculum Committee
11-10-21	Change CAO to Provost
10-7-22	Changed the recommendations to vote counts - Proposals only move forward if approved by simply majority vote. Separated AOL and Provost review sections.

Definitions

New Academic programs include any new academic degree granting programs or other program actions that require an accrediting body review and approval.

Overview

Palo Alto University's new academic program approval process provides a systematic, predictable process for considering, reviewing, and approving programs and ensuring that there is a commitment to provide any required institutional support or resources.

PROPOSAL REVIEW

1. Initial Prospectus Review

Any program under consideration should be developed in concert with the department and Provost. This should include, at minimum, a review of the degree or program title; mission statement and alignment with department and university mission; and program learning goals. The person responsible for shepherding the proposal through this process will meet with department leadership then the provost prior to providing a full proposal to ensure the aims and mission of the program align with department and university goals.

2. Full Proposal Development

Upon receipt of a positive review of the prospectus, a department will then prepare a detailed proposal that meets the requirements of the Western Association of Schools and Colleges substantive change process.

Department representatives should work in collaboration with the Provost and other administrators who will be involved in the development of the program, such as admissions, institutional research, WASC liaison, CFO, etc.

3. DCC Full Proposal Review

The DCC reviews the full proposal with attention to curriculum, academic quality, and sufficiency of resources. When the DCC by simple majority approves the proposal they forward it to the UCC for review. If the DCC does not approve the proposal it is returned to the proposer.

4. **UCC Full Proposal Review.** The UCC reviews the full proposal with attention to curriculum, academic quality and the sufficiency of faculty resources. The UCC will consult with faculty constituents prior to voting on the proposal. When the UCC by simple majority approves the proposal they forward it to the AOL for review. If the UCC does not approve the proposal it is returned to the proposer.
5. **Administration (WASC Liaison) Full Proposal Review.** A fully developed proposal is presented to the AOL who will make the initial assessment to determine that WASC substantive change issues have been satisfactorily addressed.
6. **Administration (Chief Academic Officer) Full Proposal Review.** A fully developed proposal is presented to the Provost who will ensure the proposal meets the university's curriculum needs, academic quality, and that there is a plan for the infrastructure and resources needed for the program.
7. **Administration (President) Review and Decision.** Recommendations, along with comments, by both the UCC, AOL, and the Provost are forwarded to the President. The President makes the final determination to present the proposal to the Board of Trustees. Approval must include the commitment to providing the needed resources including faculty, staff, space, administrative, library, computer, marketing, admissions and other resources. Potential outcomes are:
 - a. Full Approval to commit required resources and to submit the proposal to WSCUC as a substantive change
 - b. Approval with conditions.
 - c. Request for more information or changes prior to approval.
 - d. Decision to defer committing resources (Feedback about timeline for commitment of resources will be provided).
8. **Board of Trustees Review and Decision.** Provost presents the proposal to the Board Committee for Student Affairs and Academic Affairs. The committee decides whether to present to the entire board. The committee chair presents the proposal to the Board of Trustees.

Important Links

1. [PAU Faculty Senate Constitution](#)
2. [AAUP Statement on Academic Freedom](#)
3. [AAUP's Statement on Government of Colleges and Universities](#)
4. [Employee Handbook](#)
5. [Handbook for the Recruitment of Faculty Appointments](#)