



Established in 1851

Scholarship.

Character.

Culture.

Service.

Effective Date: **October 24, 2015**

# Employee Handbook

The information provided in this booklet is intended to be a summary of current procedures, policies, guidelines, and an overview or summary of our benefit plans. However, the College reserves the right to interpret, suspend, modify or terminate any policy or benefit at any time, with or without notice. No one other than the President of the College, with the approval of the Board of Trustees, may alter or modify any of the policies in this handbook. The policies and procedures outlined in this handbook supersede any and all previous policies, procedures and agreements. No statement by a supervisor, manager, or department head, should be considered a change in policy; nor will it constitute an agreement with an employee. The College reserves the right to make decisions which may be different from the policies expressed in this handbook.

This handbook and its contents do not constitute a contract of employment and are not intended to create any contractual rights, either expressed or implied between the College and its employees. For Staff Employees, the employment relationship is by mutual consent (employment-at-will) and may be terminated by the employee or by the College at any time and for any reason, or no reason at all. This handbook is not intended to alter the "employment-at-will" relationship in any way.

This handbook applies to all College Staff (except part-time student workers and work-study students), all Faculty and includes Officers of the College. Some parts of this handbook do not apply to Faculty and those parts are set apart in different sections of this handbook.

If the policies and procedures outlined in this handbook are changed, modified, altered, or deleted, the Human Resources Office may issue new policies and procedures as supplementation to this handbook.

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## **A MESSAGE FROM THE PRESIDENT OF THE COLLEGE**

Dear Colleague,

Welcome to Catawba College and our family of dedicated employees. We hope that you will participate fully in all aspects of campus life. From athletics to performing arts to enjoying a walk down a path in our Ecological Preserve, there are countless ways to enjoy being a part of this campus community.

Our Mission Statement talks about how we provide students with “an education rich in personal attention” and that helps define us. We recognize that every member of the Catawba team is an educator and a role model – each one of us plays a different but integral role in our students’ success. The same is true for our colleagues. Like a family, we support each other, work hard together, and celebrate our individual and collective accomplishments.

Please read this handbook so that you will understand our expectations and your responsibilities as a member of this team and this community. If you have questions, please don’t hesitate to ask your supervisor or the Human Resources Officer. If you have suggestions, please share them – we welcome your perspective and ideas. Together, we can create and sustain excellence. We look forward to working with you.

Sincerely,  
Brien Lewis  
President

## **TO ALL EMPLOYEES:**

This handbook is an important document intended to serve as a guide to help employees become acquainted with Catawba College. This information has been prepared to acquaint you with policies and procedures, benefits, services and responsibilities that are part of your employment at Catawba College. This handbook applies to all College employees (except part-time student employees and work-study students), including officers of the College. There are sections of this handbook that apply to all employees and there are parts of this handbook that apply only to Staff employees or only to Faculty. Individual circumstances may require the College to deviate from the policies and procedures contained in the handbook.

Since this handbook contains summaries and condensed versions of policies, work rules, and benefits, it is a good first reference. No handbook can answer all questions, nor would we want to restrict the normal question-and-answer interchange among us.

Please be aware that this handbook:

- Does not create a contract, expressed or implied;
- Is not all inclusive and is only a set of guidelines;
- Does not alter the “at-will” relationship between the College and its Staff employees;
- Does not guarantee employment for any definite period of time for Staff employees;
- Parts of this handbook apply to full-time and part-time employees (Staff and Faculty);
- Supersedes and replaces any previous handbook policies/procedures/agreements; and
- May only be altered or modified in writing by the President of the College with the approval of the Board of Trustees

Please become familiar with this handbook and refer to it when questions arise. If you need clarification or have questions concerning the College’s policies, please contact the Human Resources Office.

It is our hope that this handbook will show you the concern of the College and its interest in the welfare of everyone who works here. The success of the College depends largely upon the kind of people who work for it. When these people get along well together and have mutual respect for each other, the College succeeds. Catawba College is proud to have these kinds of people employed here.

Catawba College does not stand still. We are always seeking ways to improve the College, the working conditions, the equipment, and the wages and benefits. We will continue to make this progress with everyone working together.

We are happy to have you at Catawba College. We depend on you. Please do not hesitate to ask questions. We believe you will enjoy your work and your fellow employees here at the College. We also believe you will find it a good place to work.

**WE’RE GLAD TO HAVE YOU WITH US!**



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## **WHO ARE WE?**

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### **ABOUT THE COLLEGE**

Catawba College was founded in Newton, North Carolina, in 1851 by the German Reformed Church. Today, the College is affiliated with the United Church of Christ. In 1925, the College moved to its present location in Salisbury. The College endeavors to attract students both nationally and internationally of good ability and character. A private, co-educational institution Catawba College offers the Bachelor of Arts, Bachelor of Business Administration, Bachelor of Fine Arts, Bachelor of Science, and Master of Education degrees to traditional and non-traditional students. The College also serves the public through educational outreach and volunteer service programs for the world community.

### **THE MISSION STATEMENT OF THE COLLEGE**

Catawba College is committed to providing students an education rich in personal attention that blends the knowledge and competencies of liberal studies with career preparation. Catawba College draws strength from Judeo-Christian values, sustains a dynamic community of learners and seeks to unite a diverse population of students, faculty and staff as active co-participants in scholarship and service. Catawba College prepares students to reach their highest potential while becoming responsible citizens with a zeal to enrich human life.

## **THE BOARD OF TRUSTEES**

The Board of Trustees (the “Board”) shall have and exercise the corporate powers prescribed by law. The Board shall be responsible for setting the general and governing policies of the corporation (referred to in this and the following as “College”) and for delegating to the administration the responsibility to administer and implement those policies. In addition to its primary function to set College policy, the Board shall be responsible for securing financial resources to support adequately the goals of the College. The Board shall further determine the general, educational and financial policies, and shall have the power to carry out any other functions that are permitted by their bylaws or by the articles of incorporation, except as limited by law. The powers shall include but shall not be limited to the following:

1. Review and approve the College’s purposes and the mission.
2. Review and approve changes in the educational programs of the College, consistent with its mission.
3. Elect the President, who shall be the Chief Executive Officer of the College, and remove the President for just cause as described in the President’s employment contract.
4. Annually review and approve the contract and terms of employment of the President and any salary adjustments with regard to the President.
5. Authorize the President to confer all earned degrees as well as honorary degrees as recommended by the Board.
6. Review and approve procedures regarding appointment, promotion, tenure and dismissal of faculty members, and award tenure if recommendations are approved.
7. Review and oversee policies governing terms and conditions of employment, salaries and benefits for staff, faculty, administrators and other employees of the College, as well as faculty and other handbooks and materials, as appropriate in the Board’s discretion.
8. Approve and oversee the budget of the College, and establish policy guidelines for the endowment, planned giving and for all investments and fund-raising campaigns.
9. Authorize the purchase, management and sale of all land, buildings or major equipment for use by the College.
10. Authorize the construction of new buildings and major renovations of existing buildings.
11. Authorize the incurring of debts by the College and securing thereof by mortgage and pledge of real and personal property, tangible and intangible.
12. Authorize changes in tuition and fees within the College.
13. Authorize officers or agents of the College to accept gifts or bequests on behalf of the College.
14. Oversee financial, compensation and audit information regarding the College.

The Officers and Members of the Board shall be expected to abide by the following general duties and obligations:

1. To uphold and promote the mission of the College.
2. To conscientiously exercise powers of the Board and of its Committees as set forth herein.
3. To prepare for and attend Board and Committee meetings.
4. To assist with raising funds, bolstering the endowment of the College and publicizing the activities and services of the College.

## **THE PRESIDENT OF THE COLLEGE**

The President of the College shall be the Chief Executive Officer of the College and the official adviser to the Board of Trustees and its Executive Committee. The President shall serve such a term as may be determined by the Board. The President shall, as educational and administrative head of the College, exercise a general superintendence over all the affairs of the College and bring such matters to the attention of the Board as are appropriate to keep the Board fully informed in meeting its policy-making responsibilities. This duty is not fulfilled merely by reporting to the Executive Committee.

The President shall have power, on behalf of the Trustees, to perform all acts and execute all documents within the policy guidelines approved by the Board to make effective the actions of the Board or its Executive Committee.

Except as may otherwise be provided in the bylaws, the President shall be an *ex officio* member of the Board and of all Committees, without a vote.

In the event that the President is unable to perform his or her duties due to disability or other extraordinary circumstances, the duties of that office may be performed by an Acting President nominated by the Governance Committee of the Board and approved by the Board of Trustees.

## **THE PROVOST OF THE COLLEGE**

The Provost of the College reports directly to the President of the College. The Provost of the College serves as the chief academic officer of the College and may be authorized by the President to act for the President when the President is unavailable. The Provost of the College is directly responsible for (1) all academic functions of the College and (2) all matters pertaining to the faculty, the curriculum, academic policies with related procedures and actions, and academic budgets. The Provost of the College also coordinates all academic functions of the institution with the areas of student life, athletics, facilities, and institutional finances. Specifically, the Provost of the College is responsible for the following:

- Recruitment, evaluation, and retention of qualified faculty;
- Faculty development initiatives and professional growth opportunities;
- Coordination of general education, major, and minor programs of study;
- Collaboration with the Vice President of Finance to plan and monitor allocations and expenditures in academic departments and offices;
- Collaboration with the Vice President for Development to coordinate fund raising efforts pertaining to academic resources;
- Oversight of instructional support services;
- Supervision of student academic support services, including the Registrar's Office, Academic Support Services, and the Corriher-Linn-Black Library;
- Service on the President's Cabinet;
- Appoint, assign and delegate responsibilities and duties to academic administrators, including but not limited to associate provost, deans, department chairs, and program coordinators.

## **CATAWBA COLLEGE'S COMMITMENT TO YOU**

Our faculty and staff are among Catawba College's most valuable assets. Our policies and practices are designed to promote good employee relations. This can be done best if we promote the interests of our employees by selecting, training, developing, inspiring and retaining men and women who enjoy working for the College.

Some of the principles that we strive for include:

- Select applicants for employment and base employment decisions (such as promotion and other employment conditions) on the basis of ability, determined by such job-related factors as previous work experience, honesty, character, dependability, intelligence, and adaptability without regard to race, color, religion, age, sex, national origin, disability, sexual orientation, gender identity, or veteran status;
- Pay salaries that are commensurate with the job and its responsibilities and are also competitive with wages at similar higher education institutions and within our community;
- Provide ample fringe benefits for all employees, broadening them as is consistent with sound financial practices;
- Insure fair and impartial treatment of all employees by providing direct and alternate channels for opinions, suggestions, and complaints;
- Support and enforce a smoke-free working environment;
- Support a drug-free work environment;
- Support and work toward a clean environment;
- Support the community and urge all employees to become active in community activities; and,
- Encourage professional development through job related education/training.

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# EMPLOYEE POLICIES AND PROCEDURES COVERING STAFF EMPLOYEES AND FACULTY

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## EMPLOYMENT CLASSIFICATIONS

### Full-time

An employee, who is scheduled to work 30 or more hours per week each week during the year, in a regular twelve (12) month position (can be a staff employee or a faculty member).

An employee who is scheduled to work for 30 or more hours per week for a minimum of nine (9) months of the year is also a full-time employee (can be a staff employee or a faculty member).

Full-time employees are entitled to participate in those benefit programs for which the relevant eligibility requirements are met.

A full-time employee can be paid on an hourly basis or can be salaried non-exempt (eligible for overtime) or salaried exempt (not eligible for overtime).

### Part-time

An employee who is scheduled for less than 30 hours per week is a part-time employee. Part-time employees, working at least 20 hours per week, are not eligible to participate in any of the benefit plans with the exception of our (403b) retirement plan.

Part-time employees may be paid on an hourly basis or they may be salaried non-exempt (eligible for overtime) or salaried exempt (not eligible for overtime).

### Temporary

An employee who is employed for a limited time (less than 9 months) or on an as needed basis is a temporary employee. An estimate of the length of employment is usually determined in advance and the temporary employment offer is made on that basis. An employee in a temporary assignment is not eligible to participate in any of the benefit programs offered by the College.

Temporary employees may be paid on an hourly basis or they may be paid as a salary non-exempt employee (eligible for overtime) or a salary exempt employee (not eligible for overtime).

## **EMPLOYMENT AT-WILL (EXCEPT TENURED FACULTY)**

Employees are hired on an employment at-will basis. Therefore, employment with the College is not for any specific duration. Any employee's employment, except tenured faculty, may be terminated at-will by the employee or by the College at any time and for any reason not prohibited by law or for no reason at all. No department head or other representative of the College other than the President has the authority to enter into any agreement to the contrary, and any statements or promises to the contrary should not be relied upon by any prospective or existing employee. Nothing in this handbook should be construed to provide anything other than "at-will" employment. All multi-year contracts must have the approval of the Board of Trustees

## **EQUAL OPPORTUNITY EMPLOYMENT STATEMENT**

Catawba College is an equal opportunity employer. As such, the College is committed to providing equal employment opportunities for all employees, regardless of race, color, religion, sex, age, national origin, disability, sexual orientation, gender identity, or veteran status unless allowed by law and deemed necessary to the operation of the College. The College complies with all applicable federal, state and local laws governing non-discrimination. This policy applies to all terms and conditions of employment, including, but not limited to, our recruiting, selection, hiring, rates of pay, benefits, promotion, training, transfer and separation practices. Any employee involved in discriminatory practices in violation of this policy will be subject to discipline, up to and including termination.

Should you believe this policy has been violated you should follow the steps as outlined in the Fraud and Irregularities Policy found in this handbook.



## **NON-DISCRIMINATION AGAINST AND ACCOMMODATION OF INDIVIDUALS WITH DISABILITIES**

Catawba College will comply with the Americans with Disabilities Act (ADA) and all other applicable state and local laws prohibiting discrimination in employment against qualified individuals with disabilities. The College will attempt to provide reasonable accommodation for such individuals in accordance with these laws.

It is the College's policy to:

- (1) Ensure that qualified individuals with disabilities are treated in a non-discriminatory manner in all terms, conditions, and privileges of employment;
- (2) Keep all medical-related information confidential in accordance with the requirements of the ADA and retain such information in separate files;
- (3) Provide reasonable accommodations to employees with disabilities, unless such an accommodation would create an undue hardship on the College; and
- (4) Notify individuals with disabilities that the College provides reasonable accommodation to qualified individuals with disabilities by conspicuously posting the Equal Employment Opportunity Commission's poster prohibiting discrimination against individuals with disabilities.

Qualified individuals with disabilities should make requests for reasonable accommodation to the Human Resources Officer. Upon receipt of the accommodation request, the Human Resources Officer will ascertain the precise limitations resulting from the disability, meeting with the individual if needed, and the potential accommodation the College might make to help overcome those limitations.

The Human Resources Officer and the appropriate management representatives, if applicable, will determine the feasibility of the requested accommodation, considering various factors, including, but not limited to, the nature and cost of the accommodation; the availability of tax credits, tax deductions, and outside funding; the College's overall financial resources and organization; and the impact of the accommodation on the operation of the department and College.

The Human Resources Officer will notify the employee of the College's decision on the accommodation request as timely as feasible.

## **BACKGROUND CHECK**

Catawba College is committed to hiring and utilizing only the best, safest, and most qualified employees. The College's application process includes a background check for all new employees. The background check may include information it receives from third parties (such as former employers, consumer reporting agencies, outside/independent investigators) concerning him/her, including, but not limited to, information about his/her credit, character, general reputation, personal characteristics, or mode of living. Such information may include that which is obtained through personal interviews with his/her past employers, neighbors, friends, or associates. The College may use this information for the purpose of deciding whether or not to employ, promote, transfer, or take other employment action concerning him/her. Background checks are conducted on all employees who will be working with students and/or minors whether they are classified as full-time or part-time employees. Background checks are also conducted on unpaid volunteers in our College programs.

## **PUBLIC RELATIONS**

As an employee, you contribute significantly to the public image of the College. Your principal contacts are with students, parents, alumni, townspeople, and other visitors to the campus to whom you and your fellow employees are the immediate representatives of the College. Opinions about Catawba College are formed from your attitude and behavior. It is important that you treat the public and fellow employees courteously and thoughtfully. The same qualities that you appreciate in others will make you a valued employee. A friendly attitude, dependability, punctuality, and pleasant appearance should distinguish Catawba College employees.

## **CATAWBA COLLEGE APPEARANCE STANDARDS**

Employee appearance is important to the overall image of the College. Employees are expected to maintain a neat, clean, professional appearance (which includes proper hygiene) that is appropriate for the respective work areas. Employees may be warned or sent home to change if their appearance is inappropriate as determined by their supervisor. Such time away from work will be considered as unpaid time away from work.

When uniforms are provided by the College, they must be worn according to departmental policy.

## **EMPLOYEE FILES**

The Human Resources Office maintains personnel records. Employees are encouraged to advise this office immediately whenever there are changes in:

- Home address/telephone number
- Marital Status
- Number of Dependents
- Beneficiary of College-provided insurance

Incorrect information could cause problems concerning pay, benefits, or state and federal taxes.

Forms are available on the HR Page of the Catawba College website to change your address (Address Change Request Form) and to document educational training (Professional Development Summary Report).

Personnel files are the property of Catawba College, and the information in an employee's file is treated as confidential. An employee who wishes to view the contents of his/her file may do so. Employees wishing to view their file should contact the Human Resources Office to schedule an appointment.

The College is committed to protecting the privacy and confidentiality of employees' personnel files. An employee may review the material in his/her file, however the file may not be taken from the Human Resources Office. The Human Resources Office will provide verification of employment and employment reference to persons outside the College.

## **EMPLOYEE RECORDS CONFIDENTIALITY PHILOSOPHY**

The College philosophy is to safeguard personal employee information in its possession to ensure the confidentiality of the information. The College will only collect personal information that is required to pursue its business operations and to comply with government reporting and disclosure requirements. Personal information collected by the College includes employee names, addresses, telephone numbers, e-mail addresses, emergency contact information, EEO data, social security numbers, date of birth, employment eligibility data, benefit plan enrollment information, which may include dependent personal information, work history, and education level. All pre-employment inquiry information and reference checking records conducted on employees and former employees are maintained in locked areas and are not used by the College in the course of its business operations.

Personal employee information will be considered confidential and as such will be shared only as required and with those who have a need to have access to such information. All hard copy records will be maintained in locked secure areas with access limited to those who have a need for such access. Personal employee information used in business system applications will be safeguarded under College proprietary electronic transmission and intranet policies and security systems. Employees participating in College benefit plans

should be aware that personal information will be shared with plan providers as required for their claims handling or record keeping needs.

College-assigned information, which may include organizational charts, department titles and staff charts, job titles, department budgets, College coding and recording systems, telephone directories, e-mail lists, college facility or location information and addresses, is considered to be proprietary College information to be used for internal purposes only. The College maintains the right to communicate and distribute such College information as it deems necessary to conduct business operations.

If an employee becomes aware of a material breach in maintaining the confidentiality of his/her personal information, he/she should report the incident to the Human Resources Officer. The Human Resources Officer has the responsibility to investigate the incident and take corrective action. Please be aware that a standard of reasonableness will apply in these circumstances. Examples of the release of personal employee information that will not be considered a breach include such things as:

- Release of employee birthdates, i.e., day and month is not considered confidential.
- Personal telephone numbers or e-mail addresses may be distributed to departments to facilitate work schedules, communications and business operations.
- Employee identifier information used in salary or budget planning, review processes and for timekeeping purposes will be shared with the appropriate department heads/supervisors.
- Employee length of service information will be distributed periodically for the Length of Service award program.
- Employee and dependent information will be distributed in accordance with our open enrollment process (during May) for periodic benefit plan changes or benefit statement updates.

## **EMPLOYMENT OF MINORS**

North Carolina Child Labor Law requires minors, less than 18 years of age, to obtain an employment certificate from the county Director of Social Services prior to beginning work. The minor must submit the certificate to the Human Resources Office before beginning employment. The certificate must be retained in the minor's Human Resources file throughout the employment period. At the end of the minor's employment the certificate can be returned to the minor for his/her use in subsequent employment. A copy of the work permit will be kept in the employee's HR file.

## **EMPLOYMENT OF RELATIVES**

No immediate family members shall be employed in a full-time or part-time position within the same administrative department or in any position in the College where one member occupies a position that has influence or authority over any aspect of the other's employment, including promotion, salary administration, discipline or other related managerial issues.

No members of an immediate family of the President of the College or those in his/her Cabinet shall be employed full-time or part-time in any area or department of the College where they will be directly supervised by a family member. Immediate family members cannot process or manage a relative who is considered a "contractor".

Any situation existing on the approval date of this handbook will require that all employment decisions regarding the immediate family member (being supervised) must be made by someone other than the immediate family member in the supervisory position.

In this policy, immediate family is defined as spouse, mother, father, brother, sister, son, daughter, grandmother, grandfather, grandson or granddaughter. Immediate family also includes step-, half-, and in-law relationships as well as any other person living in the same household.

## **SECONDARY EMPLOYMENT**

Secondary employment is defined as employment outside the College held by a full-time employee. Secondary employment is permitted unless it impairs in any way an employee's ability to perform all of the expected duties and responsibilities of his/her position with the College, or if it directly or indirectly creates a conflict of interest. If an employee is uncertain about the acceptability of any current or anticipated secondary employment, the matter should be reviewed with their supervisor or department head.

College resources should not be used to support other employment activities unrelated to the College, and such use constitutes a conflict of interest. Employees are not to conduct non-college-related business during the time they are working for the College.

## **ATTENDANCE POLICY**

All employees are expected to be at work and ready to start work at the beginning of their workday. If you are tardy, or if you are absent frequently or unnecessarily, you place unfair burdens on your fellow employees. Such behavior also results in extra expense and disrupts work schedules. Therefore, Catawba College has established these attendance guidelines;

- (1) It is your responsibility to get approval from your supervisor, in advance, when you know you will be absent from work.
- (2) In the case of unexpected absences, you should notify your supervisor within two (2) hours of your regularly scheduled starting time. If your supervisor cannot be reached, you should leave a message with a member of the department. Be sure that you know with whom you leave such a message.
- (3) Absenteeism and tardiness may result in disciplinary action that may include termination of employment.

This attendance policy is administered in compliance with various laws and regulations which may apply to individual situations, including but not limited to, the Americans With Disabilities Act (ADA) and the Family Medical Leave Act (FMLA).

## **PAY POLICIES**

Rates of pay are established at the time of employment based on job-related qualifications and the pay range for the position as determined by the College.

Salaried employees are paid on the last working day of each month. Direct deposit in the local bank of the employee's choice is required. Details of the procedure are explained at the time of employment.

Bi-weekly paid employees receive a check every two weeks on the Friday following the end of the pay period that ended the preceding Saturday. For example, if the pay period ends on a Saturday, the 14<sup>th</sup>, the check is issued on Friday, the 20<sup>th</sup>. Direct deposit in the local bank of the employee's choice is required.

Catawba College is required by law to deduct federal and state income taxes and the employee's portion of the Social Security Tax. Each January, the College provides W-2 Forms to show total earnings for the previous year and the amount withheld for taxes. The amount of premiums paid by the employee and by the College for group health care is also shown on the W2.

## **OVERTIME PAY POLICIES**

Employees who are not required to be paid overtime in accordance with applicable federal and state wage and hour laws for work performed beyond 40 hours in a workweek are classified as exempt salaried employees and are paid on a monthly basis.

Non-exempt salaried and hourly paid employees are required to be paid overtime at the rate of time and one half their regular hourly rate of pay for all hours worked in excess of 40 hours in a work week in accordance with applicable federal and state wage and hour laws. Non-exempt salaried employees are paid on a monthly basis. Hourly paid employees are paid on a bi-weekly basis.

Overtime work is not required in normal situations. Any overtime worked must have prior supervisory approval. If a supervisor finds it necessary to require an employee to work in excess of 40 hours in any work week, the time must be considered overtime. Every effort should be made, before the end of the current pay period, to take the time off (1.5 hours off for each hour of overtime worked) in order to avoid overtime payment. In the event this is not possible, the employee must be paid overtime for all hours worked over 40 in the workweek. It is the employee's responsibility to accurately report all hours worked.

Overtime is defined as the actual time worked which exceeds 40 hours during the standard College work week. The work week for hourly employees begins on Sunday at 12:01a.m. and ends on the following Saturday at 12:00 midnight. The work week for non-exempt and exempt salaried employees begins on Sunday at 12:01a.m. and ends the following Saturday at 12:00 midnight. Vacation, paid time off, and holidays are not considered actual hours worked and should not be counted towards the accumulation of 40 hours worked. For example, if Monday of the workweek is a paid holiday and the employee works eight hours each day, Tuesday through Friday, he/she has only worked 32 actual hours. Therefore, if the employee has to work on Saturday, he/she would not be compensated at the overtime rate.

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## EMPLOYEE BENEFITS

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This section contains a summary listing of our current benefit plans. This is a general description of the benefits. For complete information, consult the plan document and summary plan description in question. Booklets and brochures providing details about these plans are provided at the time of employment and are available upon request from the Human Resources Office.

Our benefit plans may change from time to time, or may even be terminated. You should contact the Human Resources Office anytime you have a specific question about the current details of any of our benefit plans.

To many of our employees, benefits are as important as their pay. In providing these benefits, the College hopes to allow each employee leisure time, security and protection for themselves and their family.

**Any time there is a question or concern between a benefit offered and the actual plan document for that benefit, the plan document is ALWAYS the deciding document.**

### MEDICAL PLAN

There is a comprehensive plan for medical expenses, available to full-time employees (staff and faculty) at the time of employment begins. If the employee is hired on the first day of the month coverage is effective on the date of hire. If the employee is hired after the first day of the month they are eligible for coverage on the first day of the following month. Employees pay part of the premium for their own coverage. The employee portion of these premiums may change annually depending on the health care provisions and costs. The College also pays a portion of the medical premium for each employee. Dependent coverage is available to the employee at a cost, and the payment for such premiums is deducted from the employee's paycheck on a pre-tax basis. Unless otherwise specifically permitted by law, changes in the medical plan coverage must be made during the month of May (our open enrollment month) each year with an effective date of June 1<sup>st</sup> of the same year.

Details of our current medical insurance plan can be found on the website. Printed information is available upon request in the Human Resources Office.



## **FLEXIBLE SPENDING ACCOUNT**

Employees can designate pre-tax dollars to pay for reimbursement of:

- (1) Certain health care expenses not covered by the medical insurance plan (e.g., reimburse out-of-pocket medical, dental or vision care expenses NOT otherwise reimbursed by the insurance plan), and may include expenses for all dependents, even if they are not covered under your health insurance plan; and
- (2) Child care expenses for children under the age of 13, if incurred so that both parents can work, seek work, or attend school.

Full-time employees (staff and faculty) are eligible to participate at the time of employment. If the new employee does not elect to participate in the flexible spending account program they can sign up during our open enrollment (in May of each year) with an effective date of June 1<sup>st</sup> of that year.

## **VOLUNTARY DENTAL INSURANCE PLAN**

Dental insurance is provided through an independent insurance company. This insurance is available to all full-time employees (staff and faculty) at the time of employment. If the new employee does not elect to participate in the dental insurance program they can sign up during our open enrollment during May of each year (our open enrollment) with an effective date of June 1<sup>st</sup> of the that year. Waiting periods may apply for some dental services. The College does not pay the premiums for dental benefits. If an employee elects this benefit, the premium will be deducted from the employee's paycheck on a pre-tax basis.

## **VOLUNTARY EYE CARE INSURANCE PLAN**

A voluntary eye care plan is offered through an independent insurance company. This program provides a benefit for the cost of eye exams and eyewear purchased during the fiscal year (June – May). This program is available to all full-time employees (staff and faculty) at the time of employment. If the new employee does not elect to participate in the vision insurance program they can sign up during our open enrollment during the month of May (our open enrollment) each year with an effective date of June 1<sup>st</sup> of the same year. The College does not pay the premiums for eye care benefits. If an employee elects this benefit, the premium will be deducted from the employee's paycheck on a pre-tax basis.

## **OTHER VOLUNTARY INSURANCE PLANS**

An independent insurance company offers some additional individual insurance plans to our employees. Currently, the company offers dental insurance, additional life insurance, short-term disability, cancer insurance, accident insurance and critical care insurance. If an employee elects to participate in one or more of these plans, all of the premiums are deducted from the employee's paycheck. All of these plan premiums, except life insurance, are payroll deducted on a pre-tax basis. These programs are available to all full-time employees (staff and faculty).

## **VOLUNTARY GROUP TERM LIFE INSURANCE**

An independent insurance company offers all full-time employees (staff and faculty) the opportunity to purchase voluntary group term life insurance. The employee is also eligible for accidental death and dismemberment insurance. Group term life is also available for your spouse and your children. The premiums are paid by the employee via payroll deduction on a post-tax basis.

## **LIFE INSURANCE**

The College provides life insurance for each full-time employee of the College effective the first day of the month following their date of hire. The Life Insurance Plan Document can be found in the CatLink web portal (Employee tab – Employee Benefits channel). Your life insurance amount is equal to the annual salary you are paid on your primary position rounded up to the next thousand dollars with age related reductions and other offsets in coverage as specified in the plan document. The specific terms of the policy are subject to change on an annual basis.

The terms of the life insurance plans are controlled by the language of the plan documents.

## **SHORT- TERM DISABILITY PLAN**

The College's short-term disability plan is available to all full-time employees (staff and faculty) at the time of employment and becomes effective on the 31st calendar day after the beginning of employment. This benefit is provided to the employee at no cost. The benefit provides a weekly benefit amount equal to 50% of the employee's normal weekly salary. This benefit is paid by the College to an employee who has been absent from work due to a non- work- related injury or sickness. The benefit period for short-term disability insurance is up to 22 weeks. This benefit will have a \$3,000/month maximum salary that will be paid. This benefit will also be reduced if the employee is receiving any other compensation during their absence.

The College may request a statement from the employee's doctor stating that the time off of work is needed for the employee's health and recovery and include an estimate of the time of work that employee will miss.

The short-term disability leave of absence and the College's obligation under the Family Medical Leave Act of 1993 will run concurrently until the end of the 12 week leave of absence period required by the FMLA. During the 12 week period the accumulation of benefit days (vacation and sick days) will stop. Accumulation of benefit days will start again once the employee returns to work.

Applicable premiums (health insurance, dental insurance, flex spending account, etc.) will be deducted from the short-term disability benefit earnings paid by the College during the short-term disability period. The employee's coverage under the College's group plan will continue during the short-term disability period provided the employee continues to pay the applicable premiums.

## **LONG-TERM DISABILITY INSURANCE**

The College's long-term disability insurance coverage is available to all full-time employees (staff and faculty) at the time of employment and becomes effective on the one-year anniversary of the beginning of employment. This coverage is offered at no cost to the employee. The plan provides, after 184 days of continuous disability, a monthly income benefit equal to 50% of an employee's base salary with a minimum of \$100 and a maximum of \$3000 per month. Benefits paid are subject to the policy terms including any right of offsets noted in the policy.

The long-term disability benefits are available for a period up to 24 months.

Once an employee is placed on a long-term disability leave of absence he/she remains eligible for continued coverage under the College's health care plan for up to one (1) year from the original date of disability. On the one (1) year anniversary of the disability leave, the employee will be terminated from all benefit plans. The employee will be eligible for continued medical and dental coverage under COBRA. The Human Resources Officer will explain the continuation of coverage options with the employee at the time of the termination. The employee will have to accept coverage under COBRA, and pay the applicable premiums for coverage to continue under the College's group medical and/or dental plan.

## **RETIREMENT**

The College's retirement benefit is available to all employees who work at least 20 hours per week. Eligible employees can begin participating in the retirement plan upon employment.

**Employees must contribute to the plan in order to receive the College contribution.** Funds contributed by staff employees into the retirement plan are matched at the discretion of the College based on length of service and may change on an annual basis. Employees hired prior to 1/1/2009 are fully vested in the retirement plan. Those hired on 1/1/2009 and after will have a 3-year cliff vesting period (no vesting at all until 3 years then 100%). The participating employee is always 100% vested in funds they have contributed to their retirement plan.

Funds contributed by faculty members into the retirement plan are matched at the discretion of the College based on "non-tenure" and "tenure" status and may change on an annual basis.

Employees hired prior to 1/1/2009 are fully vested in the retirement plan. Those hired on 1/1/2009 and after will have a 3-year cliff vesting period (no vesting at all until 3 years then 100%). The participating employee is always 100% vested in funds they have contributed to their retirement plan.

The College's Supplemental Retirement Account (SRA) is also administered by TIAA/CREF. All full-time employees (staff and faculty) are eligible to make contributions as a salary reduction through payroll deduction on a pre-tax basis. The College does not contribute any funds at all to an SRA established by the employee. This option allows the

employee to add additional contributions (beyond the contribution maximum for the College match maximum) to his/her retirement plan.

## **PAID HOLIDAYS**

All full-time employees (eligible for benefits) of the College observe the following paid holidays:

New Year's Day  
Martin Luther King, Jr. Day  
Good Friday and Easter Monday  
Memorial Day  
Independence Day  
Labor Day  
Thanksgiving Day and the Friday after  
Two days at Christmas (to include Christmas Day)

Information about holidays is provided each year by the President's Office.

When a holiday falls on Saturday or Sunday, it is generally observed on the nearest working day (Friday or Monday).

The nature of the employee's position or the College calendar may require work on some holidays.

Salaried non-exempt and hourly paid employees who must work on a College holiday will be paid double time (based on their hourly rate of pay) for all hours worked on the holiday.

There will not be any compensation given at the end of employment for future paid holidays.

## **JURY DUTY PAY**

Jury duty service is a civic duty, and the College expects employees to serve when called. The College will continue to pay a full-time employee's regular salary during the time the employee serves on jury duty and will ask require the employee to simply sign the check received for the jury service over to the College. This can be done in the Business Office.

## **TUITION ASSISTANCE BENEFITS**

### ***Tuition Waiver Benefits (available to full-time and part-time Staff and Faculty)***

In order to be considered for Tuition Remission, an applicant must first be admitted to the College. You are encouraged to apply as early as possible.

The value of the Tuition Remission benefit is net of all other grants, scholarships, and gift aid. This means that all other forms of gift aid (such as, but not limited to North Carolina Need Based Scholarship or Federal Pell Grant) are first applied to tuition, and the remaining tuition balance will be covered by the Tuition Remission Scholarship for which the employee is eligible. Here is an illustrative example:

Tuition	\$27,000
NC Need Based Scholarship	\$ 5,000
Federal Pell Grant	<u>\$ 1,200</u>
Amount of Tuition Remission Scholarship	\$20,800

Applicants must complete the Free Application for Federal Student Aid (FAFSA). Any outside scholarships can be applied to expenses such as books, room and board, fees, etc. The employee and eligible dependents pay for all books required for course work and any special fees associated with a major field of study. Room and board are not covered.

Full-time employees, their spouses, and their dependent children may receive a waiver of tuition for fall, J-term, spring, and summer terms until a Bachelor's Degree is earned at Catawba College or at another institution of higher education. Once the Bachelor's Degree has been earned an employee of the College will be eligible, using Tuition Remission benefits to "audit" classes for professional development purposes. Tuition Remission benefits are also available for employees (not dependents) who wish to take Graduate level courses at Catawba College.

Each eligible full-time employee, and their eligible dependents, will be eligible for tuition remission according to this schedule:

After 1 year of service	25% Tuition Remission benefits
After 2 years of service	50% Tuition Remission benefits
After 3 years of service	100% Tuition Remission benefits

Part-time employees, and their eligible dependents, will be eligible for tuition remission according to this schedule:

After 3 years of part-time service	25% Tuition Remission benefits
After 6 years of part-time service	50% Tuition Remission benefits
After 9 years of part-time service	100% Tuition Remission benefits

Effective August 1, 2013, all new students, whether the student is the employee, the employee's spouse, or the employee's dependent child, must maintain a cumulative GPA of at least a 2.0, for the Tuition Remission to continue. Should the student's GPA

fall below 2.0, the student will be given a “probationary semester” covered by the benefit to improve their GPA to at least a 2.0. If the student fails to bring the cumulative GPA up to at least a 2.0 by the end of the probationary semester, then the student will not be eligible for the Tuition Remission benefit to continue. The student can continue to take classes, if they wish to do so, by paying the current enrollment rate per hour that applies to classes being taught in the School of Evening and Graduate Studies. When the student successfully reaches a cumulative GPA of 2.0, they would become eligible again for the Tuition Remission benefit.

The employee must be employed by the College during any time period where the tuition waiver is being used, by the employee or by a dependent of the employee, except as noted below.

In the event of the retirement of a full-time employee who has been working for Catawba College for 15 years or more and who retired at age 62 or later, the College will provide a waiver of tuition for each child of that employee who wishes to enroll in the undergraduate program and who meets admission requirements. This benefit would be available until the child reaches age 24.

The Tuition Remission program is administered by the Vice President of Enrollment Management. Tuition Remission forms are available in the Human Resources Office.

### ***Professional Development***

Members of the College staff are encouraged to pursue appropriate Catawba College courses without tuition cost or registration fee. Pursuit of studies should not exceed one course per semester during working hours. Each employee having an interest in taking course work should work out the arrangements with his/her supervisor. When courses are taken during working hours, the missed work hours must be made up. Additional hours may be pursued in the School of Evening and Graduate Studies.

In addition, the College will pay for full-time employees (Staff and Faculty) who pursue position-related courses or classes after hours at other institutions, provided such courses are not offered by Catawba College. This participation must be approved by the employee’s supervisor and the Vice President to whom that supervisor reports. The course or degree program must be directly related to the essential functions of the employee’s department or position at Catawba College. The position-related courses or classes can be part of a certification program or undergraduate or graduate level classes.

The College will pay a maximum of 50% of the cost for an eligible employee to pursue an advanced degree. An employee participating in this benefit must sign a contract stating that they will remain an employee of the college for a specified period of time once they receive the advanced degree. Failure to meet the requirements of the contract will require the employee to reimburse the College for a portion of the costs paid by the College or for all of the costs paid by the College.

### ***Other Institutions***

Information regarding institutions which participate in the Tuition Exchange program with Catawba College is available from the Financial Aid Office. The institutions that participate in the Tuition Exchange Program with Catawba College are private colleges and universities.

Details of the Tuition Exchange Program are available by contacting the Financial Aid Office.

### ***\*Definition of Eligible Dependent Child(ren)***

This program provides assistance for natural born, legally adopted, or qualified stepchildren who also meet the Internal Revenue Service eligibility criteria and are under the age of 24. The requirement of dependency is deemed to be satisfied if the child is claimed as a dependent on the employee's federal income tax return for the tax year in which the concession is granted.

### ***\*School of Evening and Graduate Studies Program***

Tuition remission is granted for spouses and dependent children to participate in our School of Evening and Graduate Studies Program. The age restriction (under the age of 24) is waived.



**GENETIC INFORMATION NONDISCRIMINATION ACT (GINA)**  
**POLICY**

The College complies with the Genetic Information Nondiscrimination Act of 2008 (GINA) which prohibits employers and other entities covered by GINA Title II from requesting or requiring genetic information of an individual or family member of the individual, except as specifically allowed by this law. To comply with this law, the College asks that its employees, and their medical provider's, not provide any genetic information when responding to any request for medical information required under College policies. "Genetic information," as defined by GINA, includes an individual's family medical history, the results of an individual's or family member's genetic tests, the fact that an individual or an individual's family member sought or received genetic services, and genetic information of a fetus carried by an individual or an individual's family member or an embryo lawfully held by an individual or family member receiving assistive reproductive services. The College does not consider genetic information in making employment decisions.

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

In accordance with provisions of the Family and Medical Leave Act of 1993, a leave of absence for a period of up to 12 weeks during the year may be granted to employees who have worked at least 12 months and have 1,250 hours of service during the prior 12 months. The 12 months of service does not have to be continuous service. At Catawba College, the “FMLA Year” shall be a rolling 12-month period measured from the first date on which the employee uses any FMLA leave.

Family Medical Leave Act leave is granted for the following reasons:

- 1) For incapacity due to pregnancy, prenatal care or child birth;
- 2) To care for the employee’s child after birth or placement of a child with the employee for adoption or foster care and the decision to provide care for that child;
- 3) To care for the employee’s spouse, son, daughter, or parent who has a serious health condition;
- 4) Because of a serious health condition that makes the employee unable to perform the essential functions of his/her job.
- 5) Because of a qualifying military exigency; or
- 6) Because you are the caregiver for an injured covered military member.

**NOTE:** A serious health condition is an illness, injury, impairment, or physical or mental condition that involves inpatient care in a medical facility or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employees’ job, or prevents the qualified family member from participating in school or other daily activities.

Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

In cases of serious health conditions, an employee may take intermittent rather than continuous leave (i.e., take a few days or hours at a time on a regular or occasional basis). Such requests must be supported by medical certification, and the College reserves the right to transfer the employee to a position that is compatible with his or her leave schedule and limits interruption or disruption to College operations.

### *Advance Notice Required*

In any case where the necessity for FMLA leave is foreseeable, the employee must provide no less than 30 days’ notice before the leave starts of his or her need to take FMLA leave. If such notice is not possible, notice must be given as soon as practical, ordinarily within one or two business days from when the need for leave becomes known. In the absence of appropriate notice, FMLA leave may be denied until at least 30 days after notice is actually given.

If leave is requested for a planned medical treatment or operation, the employee should make a reasonable effort to schedule the treatment so that it is not unduly disruptive to College operations. Such scheduling is subject to the approval of the employee's health care provider or the health care provider of the son, daughter, spouse, parent, or the caretaker employee.

#### Medical Certification Required

Employees requesting leave for a serious health condition must promptly (within 15 days) provide a written medical certification on the form (or including all information requested on the form) provided by the College. Medical certification forms shall be available from the Human Resources Office and will be provided to the employee when FMLA leave is requested. The College reserves the right to require the opinion of a second (and, if appropriate, third) health care provider as to the necessity of FMLA leave.

#### Re-certification by Health Care Provider

If an employee is on FMLA leave due to pregnancy (not leave to care for a healthy infant) or due to the employee's chronic or long-term medical condition or that of the employee's relative, the College reserves the right to require that employee to provide re-certification by a health care provider on the continued existence of the relevant serious health condition. Re-certification may be required every 30 days, in the event of a significant change in the underlying medical condition, or if the College receives information that casts doubts on the stated reasons for the absence.

#### Fitness-for-Duty Certification

An employee returning from FMLA leave due to a serious health condition of his/her own must provide a statement from the employee's health care provider releasing him or her to return to work.

#### Substitution of Paid Leave

FMLA leave is unpaid except to the extent the employee has unused paid leave (vacation and sick days). Employees will be required to use all available benefit days to continue their salary in full while on FMLA.

#### Health Benefits

During FMLA leave, the employee's coverage under the group health insurance plan will continue as if the employee is actively employed. If agreed to in advance by the College and the employee, any employee-paid portion of health insurance premiums will be paid by the College during the period of FMLA leave. Once the employee returns to work, he or she will be responsible for reimbursing the College for the employee-paid portion of the health insurance premiums. These payments shall be made on a schedule determined at or near the time FMLA leave begins. Otherwise, employees who wish to maintain such benefits must arrange to make payment of their portion of the premium on or before the date on which such amount would otherwise have been deducted from their paycheck. If an employee fails to return to work from an FMLA leave due to circumstances

other than those beyond the employee's control, the College is entitled to immediate reimbursement of the entire amount of the health premiums which the College has paid, on behalf of the employee, to the extent permitted by law.

#### Accrual of Benefits

Accumulation of all paid benefit days (i.e. vacation and sick days) will stop at the beginning of the 12-week approved FMLA leave. The accumulation of these benefit days will not start again until the employee returns to work.

#### Reinstatement

Unless the College determines that the employee is a "key employee" (as that term is defined by the FMLA) whose reinstatement will result in grievous economic injury to the College, an employee on FMLA leave shall be reinstated to the same or equivalent position if and when he or she returns from FMLA leave. The employee will be subject to any changes in benefit levels that took place during the period of FMLA leave and that affected the entire workforce, as well as any unconditioned pay increases or bonuses the employee would have received if he or she had not taken FMLA leave.

Reinstatement to the same position will not be guaranteed for any leave of absence that goes beyond the 12-week FMLA entitlement.

#### Military Leave of Absence

Eligible employees with a spouse, son, daughter, or parent on active duty or call to active duty status in the National Guard or Reserves in support of a contingency operation may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.

FMLA also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service member during a single 12-month period. A covered service member is a current member of the Armed Forces, including a member of the National Guard or Reserves, who has a serious injury or illness incurred in the line of duty on active duty that may render the service member medically unfit to perform his or her duties for which the service member is undergoing medical treatment, recuperation, or therapy; or is in outpatient status; or is on the temporary disability retired list.

The Uniformed Services Employment and Reemployment Rights Act (USERRA) protects the job rights of individuals who leave employment positions to undertake military service. The College complies with USERRA and posts information about USERRA on campus.

If a regular full-time employee of Catawba College is inducted into the United States Armed Forces, he/she will be expected to show such orders to his/her supervisor as soon as they are received. Generally under law, the employee will be eligible for reemployment after completing his/her military service, provided:

- The employee successfully completes his/her military service after no more than five years, unless he/she is involuntarily retained.
- The employee must enter the military service directly from the College (i.e., the employee does not resign from his/her job prior to joining the service).
- The employee must apply for, and be available for, reemployment within a timely manner after his/her discharge from active duty as required by law.
- The employee was not separated from service with a disqualifying discharge or under other than honorable conditions.

Upon return, the employee will be reinstated in the same or comparable position as required by law.

If a regular full-time employee of Catawba College is an active member of a United States Reserve Unit or the National Guard, and he/she is ordered to serve during the two-week summer camp or annual two-week active duty, he/she will be eligible to receive a pay supplement. The pay supplement, when added to the pay received from the military, will equal the pay that he/she would have received had he/she been working on his/her regular job. Paid military leave is not to exceed 15 days per calendar year. If an employee wishes to receive this pay supplement, he/she must bring his/her supervisor a copy of the Military Pay Voucher that was received with his/her military pay.

Employees should consult with the Human Resources Officer for information of how benefits are affected during a military leave of absence.

## **PERSONAL VEHICLE INSURANCE COVERAGE AND MILEAGE REIMBURSEMENT**

Catawba does have coverage under the Commercial Auto policy for “non- owned” autos from a liability standpoint. Example would be faculty or staff member using personal car while going to function directly related to their Catawba duties.

The College will reimburse mileage on personal vehicles used for College business at the current rate established by the College. You may contact the office of the Vice President of Finance to find out the current mileage rate. The appropriate supervisor must approve reimbursement for mileage on personal vehicles.

## **LENGTH OF SERVICE AWARD PROGRAM**

The purpose of the Catawba College Length of Service Awards Program is to recognize and express appreciation for full-time employees---both staff and faculty---who have served the College for five or more cumulative years. Awards are given in five-year increments, beginning at five. Recipients will be recognized and presented with an award packet determined by their years of service.

To qualify as an award recipient, an individual must have:

- Served as a full-time employee;
- Worked consecutive or non-consecutive years of service for the College.

## **OTHER FRINGE BENEFITS**

- (1) The Corriher-Linn-Black Library provides exceptional resources which employees are welcome to use.
- (2) Catawba College employees are given a discount on many items sold in the College Bookstore.
- (3) Season tickets for athletic events are free and full-time employees may obtain tickets for College Theatre plays for free or at a reduced price.
- (4) The gymnasium facilities and the wellness center facilities are available to all employees and their spouses.
- (5) All staff and faculty are eligible to receive one free meal in the cafeteria each week during the academic year.

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## EMPLOYEE RELATIONS

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### WORKPLACE LACTATION POLICY

Catawba College provides a supportive environment to enable breastfeeding employees to express their milk during business hours.

#### Lactation Room

Catawba College has designated a private and sanitary location on campus so that employees may express their milk during business hours. **The designated lactation room is located in the Student Health Center.** The lactation room provides an electrical outlet, a comfortable chair, and nearby access to hot running water and soap. In addition, a small refrigerator will be placed in the room for nursing mothers to store their milk during the day. Nursing mothers can schedule the use of the Lactation Room by calling the nurses in the Student Health Center (at extension 4404) and reserving the room. Breastfeeding employees are responsible for keeping the lactation room clean for the next user. If employees prefer, they may also express their milk in their own private offices, or in other comfortable locations agreed upon in consultation with the employee's supervisor.

#### Reasonable Break Times

Employees shall be granted flexible and reasonable breaks, using their normal break periods and meal times, to accommodate milk expression. For time that may be needed beyond the usual break periods, employees may make up the time as negotiated with their supervisor.

Employees who wish to express milk during the work period should keep their supervisor informed of their needs so that appropriate accommodations can be made to satisfy the needs of both the employee and the department. Nursing mothers who feel they have been denied appropriate accommodations are encouraged to contact the Human Resources Office.

#### Distribution of This Policy

The Catawba College Workplace Lactation Policy shall be discussed with new employees during their orientation with the Human Resources Officer. Information about breastfeeding support after returning to work shall also be provided to employees at the time of their maternity leave of absence.

## **SAFETY POLICY**

A safe place is a productive workplace. The College has made a very strong commitment to provide a safe and healthy place to work.

Our safety policy is based on the belief that each employee must:

- Work safely as a condition of hire and continued employment;
- Take responsibility for his/her own safety;
- Be concerned with the safety of his/her fellow employees;
- Be certain that unsafe acts and conditions are eliminated and/or safeguarded; and
- Believe that work-related injuries are preventable and therefore unacceptable.

For the protection and safety of all employees, the College has developed certain important safety rules and instructions. The following is a non-exclusive list of the College's safety rules and instructions:

1. Do not operate a machine unless you are authorized and have been trained to do so.
2. Learn the right way to do your job. If you are not sure that you thoroughly understand your job, ask your supervisor for further instruction.
3. Use guards and other safety devices for your protection at all times.
4. Machines/equipment must be locked out/tagged out before certain services are performed.
5. Do not block emergency exits or fire extinguisher stations.
6. Smoking is permitted in designated smoking areas only.
7. Do not report to work under the influence of drugs and/or alcohol or legal drugs used improperly.
8. No firearms or other weapons are allowed on College property (except Law Enforcement personnel)
9. Good housekeeping is necessary for safety and efficiency. Keep your work area neat and clean at all times.
10. Material Safety Data Sheets (MSDS) are available on potentially hazardous chemicals in your work area. Review these sheets so you will know the necessary precautions to take while working with these chemicals.
11. All injuries, no matter how slight, must be immediately reported to your supervisor or department head, so that the injury can be treated.

This listing is not meant to be all-inclusive. Additional safety procedures, rules, and instructions are developed from time-to-time to protect the employees of Catawba College.

Employees will be held responsible for following all safety rules. Failure to comply with safety rules and policies not only jeopardizes the employee's safety, and perhaps the safety of others, but may also result in disciplinary action up to, and including, termination of employment.



## PROCEDURES FOR HANDLING ON-THE-JOB INJURIES

When an employee has a work-related injury that requires more than first aid, the employee and the College have responsibilities to assure the employee receives immediate and appropriate medical treatment. Any employee that suffers a work-related injury should immediately inform his/her supervisor and/or the Human Resources Office. The Human Resources Office will provide you information and assistance. The College reserves the right to require substance abuse testing when an employee is involved in an on-the-job accident.

When an accident/injury occurs:

- If, in the employee's opinion, the accident/injury appears to be severe or life threatening, he/she should call College Security immediately at extension 4000.
- If, in the employee's opinion, the accident/injury is not life threatening and does not require immediate emergency treatment, he/she should notify his/her supervisor immediately. The supervisor should accompany the employee to the College Health Center to discuss the facts of the accident with the employee and to see if the injured employee needs to be taken to another medical facility for further treatment.

The employee may receive the necessary medical care from our Health Services staff or may be referred to another physician. If the employee is referred to another physician, arrangements will be made to secure the necessary transportation and treatment, at the expense of the College.

The supervisor is responsible for working with the Human Resources Officer to complete the necessary Report of Injury so that a timely report can be sent to our Workers Compensation Insurance carrier.

### OSHA

In 1971, the Federal Occupational Safety and Health Act (OSHA) became effective and required every employer to provide a safe and healthy place to work.

The Director of Facilities coordinates many programs related to OSHA. Safety issues that cannot be resolved by the employee's immediate supervisor should be brought to the attention of the Director of Facilities.

Catawba College has made a commitment to all employees that it will provide a safe and healthy working environment. Practicing safe work habits on the job is a responsibility of every employee.

Each supervisor is responsible for providing safe working conditions for each employee; knowing safety and health guidelines; reporting and investigating accidents; ensuring proper safety equipment is provided and used; and advising management of any unsafe work environment or condition.

All employees are responsible for conducting their own work in a safe manner to protect themselves, fellow employees, and the public; wearing and appropriately using required safety apparel or devices; making recommendations to improve safety and health

in the workplace; and notifying the supervisor of any accident involving injury, illness, or “near-miss”.

#### HAZARD COMMUNICATION PROGRAM

The College has a Hazard Communications Program. The purpose of the program is to make information available to employees on the identity of chemicals used in the workplace, the nature of these chemicals, and the protective measures necessary when working with chemicals. Employees who work with toxic and/or hazardous materials will receive special training in recognizing hazardous situations and using personal protective equipment. They must read, understand and sign the Material Safety Data Sheet (MSDS). Information about chemical substances, that an employee may be using, is available from the Director of Facilities.

Employees who may be exposed to Bloodborne Pathogens will also receive training in the correct procedures that must be followed when there is an incident of potential exposure.

#### FIRE SAFETY POLICY

Our policy requires ALL fires, regardless of size or kind, to be reported to the Salisbury Fire Department. All employees and students are expected to abide by this policy.

Anyone found tampering with smoke/fire detection systems are subject to be disciplined to the full extent that the law allows.

The College will conduct unannounced fire drills at least two times a year in each classroom/office building. All faculty, staff and students are to vacate any building they are in when they hear the fire alarm. Employees not vacating the building during a fire drill will be considered in violation of this policy and will be subject to discipline up to and including termination of employment.

## **FIRE SAFETY IN NON-RESIDENTIAL FACILITIES**

***The use of the following devices is strictly prohibited:***

### *Cooking Appliances*

Open coil burners (hot plates), griddles or grills, regular toasters, toaster ovens, electric hamburger or hotdog cookers (including George Foreman-type grills), indoor/outdoor grills or hibachis, and any high heat appliance capable of heating cooking oil to the boiling point.

### *Candles and Incense*

Open flames of any kind (candles, incense, smoking materials) are strictly prohibited in non-residential facilities. All candles are prohibited, even if the wick has been cut off, if it is still in its original wrapper, or intended for decorative purposes only.

### *Fireworks*

The College strictly forbids the use or possession of fireworks, firecrackers, or any other type of explosive.

### *Halogen Lamps*

Halogen lamps are not permitted.

***Appropriate care must be taken with the use of the following devices:***

### *Extension Cords*

Extension cords must be used temporarily and in accordance with their labeling instructions. Multiple extension cords are not permitted. Only temporary installations routed safely and appropriately to the load are permitted. The College will abide by the OSHA regulations when a drop cord is used as a permanent electrical supply for a device.

### *Space Heaters*

Never leave space heaters unattended and keep any combustibles away from the space heater.

NOTE: This policy does not address instructional materials and activities that would be encountered in science classes or theatre productions, which are subject to their own stringent guidelines. Ceremonial and celebratory use of candles for public religious practices and formal occasions is also not affected by this policy.

## **CATAWBA COLLEGE SMOKE-FREE CAMPUS POLICY**

Due to the acknowledged hazards arising from exposure to environmental tobacco Smoke, Catawba College provides a smoke-free environment for all employees and visitors on our campus. This policy covers the smoking of any tobacco product and applies to all students, employees and visitors of the College.

To limit the difficulties associated with second-hand smoke, a number of outdoor smoking areas have been established on the campus. Smoking is only permitted inside the designated area and not in transit to or from it. Those areas are:

1. The area on the sidewalk between the Lerner Wellness Center (in the Cannon Student Center) and Ketner Hall.
2. Hoke Hall: the uncovered portion of the patio located on the interior campus side of Hoke Hall.
3. Abernethy Physical Education Center: the patio at the entrance to the Kirkland Lobby, located on the interior side of campus (Ruth Richards House/Abernethy Village side).
4. Robertson College Community Center in the areas specified below:
  - On the patio located between Peeler Crystal Lounge and Hedrick Little Theatre.
  - To the left of the entrance area to the main doors to Keppel Lobby, under the tall covered walkway area (portico)
  - Outside the Keppel Lobby doors which lead out to the parking lot behind the RCCC (at the far opposite end of the lobby from the Peeler Crystal Lounge)
  - At the stage door entrance of the theatre, located on the right side of the building as you face the front of the building from the street
5. Catawba College Theatre Annex: immediately outside of the front entrance.
6. Florence Busby Corriher Theatre: immediately outside of the lobby entrance
7. Shuford Science Building: outside on the concrete sidewalk from the greenhouse to the side of the Shuford Science Building
8. Immediately outside the main entrance to Newman Park Baseball Stadium
9. On the Dearborn Patio between Shuford Stadium and the Baseball Clubhouse
10. On the loading dock outside the Maintenance Facility
11. On the loading dock outside the Chartwell's kitchen area of the Cannon Student Center.

Any Catawba College student, employee, or visitor to our campus found in violation of smoking outside of a designated area will be subjected to possible fine of \$50.00.

**Please see the campus map showing the location of these designated smoking areas on the next page.**

# CATAWBA

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Catawba College strongly encourages all members of the community to utilize resources to assist in the cessation of tobacco related products. If you need additional information or resources related to tobacco cessation programs, please visit the Proctor Student Health Center. For employees covered under the Catawba College Health Care Plan, there are also cessation resources available through our plan.

Achieving a smoke-free environment requires support from all members of the College. College officials have developed and maintain a plan for communicating the policy to their constituents including, but not limited to, students, college employees, contractors, vendors, and visitors.

Catawba College is committed to providing its employees and students with a safe and healthy working and learning environment. The College recognizes that the use of tobacco products in campus buildings is detrimental to the health and safety of students, staff, faculty and visitors.

It is the goal of the College to protect the public health and environment of its employees by tightening smoking regulations, eliminating smoking in work areas, assisting employees who wish to quit smoking, and establishing a constructive disciplinary system for offenders without polarizing employees into pro-and-anti smoking campus

Smoking is prohibited on the College campus except in the designated smoking areas outside some of the buildings on campus. Please see the campus map on the next page that shows the location of these designated smoking areas.

All employees of the College share in the responsibility for adhering to and enforcing this policy and have the responsibility for bringing it to the attention of fellow employees and visitors.

This policy is communicated through signs posted in each College facility. Signs prohibiting smoking are conspicuously posted in every building.

Visitors will be informed of this policy through the posted signs and their host will explain it to them.

The College Health Center will assist employees who wish to quit smoking by facilitating access to recommended smoking cessation programs and materials. These type of programs are also available through our health care plan.

All violations of this policy will be handled through standard disciplinary procedures. The decision to provide or not provide designated smoking areas outside the buildings will be at the discretion of the President of the College and his/her Cabinet.

All materials used for smoking, including cigarette butts and matches, will be extinguished and disposed of in appropriate containers.

## **COLLEGE VEHICLE SAFETY POLICY**

Catawba College maintains a number of College vehicles for College business. All operators of such vehicles must meet policy requirements. Prior approval by the supervisor is required for all drivers. A copy of the policy is available by contacting the Director of Facilities. Approval to drive a College vehicle will require one to agree to a records check through the Department of Motor Vehicles. Approval will be based on the results of the records check. DMV record checks will be updated periodically for each approved driver.

## **WORKPLACE HARASSMENT**

Each employee has the right to do his/her job in a business environment that is free from any kind of harassment. The College will strive to treat all employees with fairness, respect, and courtesy.

The College maintains a strict policy that prohibits harassment in any form. Harassment is viewed as unacceptable behavior and will subject violators to disciplinary action up to and including termination of employment.

Rude treatment, harsh supervision, unwelcome sexual advances, requests for sexual favors or any conduct that fails to respect the dignity and feelings of an employee are all forms of harassment, even if not illegal. Such conduct can impair job performance, develop unsatisfactory working relationships and may lead to an objectionable climate in the workplace.

If an employee believes this policy has been violated he/she should contact the Human Resources Officer. If the Human Resources Officer is not available he/she should contact the Vice President of Finance.

# **CATAWBA COLLEGE SEXUAL HARASSMENT POLICY AND APPEALS PROCEDURES**

## **SEXUAL HARASSMENT POLICY FOR FACULTY, STAFF AND STUDENTS:**

The Catawba College community values a positive community environment of tolerance, civility, and mutual respect. The College is committed to providing and promoting an atmosphere in which faculty and staff can realize their maximum potential in the workplace and students can engage fully in the learning process. Sexual harassment creates an environment incompatible with its values, is a form of discrimination, and can be illegal. Sexual harassment is unacceptable conduct and will not be condoned in any form at the College.

### **WHAT IS SEXUAL HARASSMENT?**

“Sexual harassment” is defined as unwelcome sexual advances, requests for sexual favors, and other verbal, or physical conduct of a sexual nature, when:

- Submission to such conduct is made either implicitly or explicitly a term or condition of an individual’s employment or status in a course, program or activity;
- Submission or rejection of such conduct by an individual is used as the basis for employment or educational decisions affecting such individuals; or,
- Such conduct has the purpose or effect of interfering with the individual’s work or educational performance; of creating an intimidating, hostile, or offensive working and/or learning environment; or of interfering with one’s ability to participate in or benefit from an educational program or activity.

By way of example, sexual harassment can include:

- sexual innuendoes, “off-color jokes”, sexually-suggestive comments;
- offensive remarks about another person’s clothing, body, or sexual characteristics;
- suggestive or insulting sounds;
- implied or overt sexual propositions, or pressure for sex;
- leering or ogling;
- obscene gestures;
- physical intimidation, e.g., blocking, cornering, leaning too close;
- inappropriate touching, fondling or kissing;
- coerced sexual contact;
- placing sexually-suggestive objects, pictures or cartoons in the work or study area.



Sexual harassment can be perpetrated upon members of the opposite gender or one's own gender. Occasional compliments of a socially acceptable nature do not normally constitute sexual harassment. Similarly, depending upon the circumstances (including the nature or the context of an action), not all verbal or physical conduct will be considered sexual in nature.

The academic setting is distinct in the workplace and the College will maintain and encourage academic freedom. Academic setting will be considered in regard to complaints in the teaching context and to be sexual harassment such behavior must be persistent, pervasive and not germane to the subject matter.

Incidents of actual or attempted sexual assault or rape may be considered sexual harassment but are typically of a much more serious nature and so should warrant more appropriate actions (e.g., bringing criminal charges, reporting to the Office of Public Safety) than this policy provides for and other policies (e.g., Sexual Assault Student Policy) may be applicable.

## **HARASSMENT COMPLAINTS**

Catawba College encourages any person who feels he or she has been sexually harassed to take informal or formal steps to deal with sexual harassment. Complaints may be resolved through an informal or formal process as described below. Informal means are encouraged as the beginning point, but the choice of where to begin rests with the complainant. Among the informal steps that may be taken to deal with sexual harassment are:

- Clearly say “NO” to the person whose behavior is unwelcome.
- Communicate either orally or in writing with the person whose behavior is unwelcome. The most useful communication will have three parts:
  - a. A factual description of the incident(s) including date, time, place, and specific action.
  - b. A description of the writer's feelings, including any consequences of the incident.
  - c. A request that the conduct cease. Frequently such a communication will cause the unwelcome behavior to stop.
- Speak with the supervisor, department chair, dean, or director, who may speak to the person whose behavior was unwelcome. The name of the complainant need not be disclosed. The purpose for such conversation is cessation of the unwelcome behavior.
- Contact the appropriate College official listed below to facilitate a meeting with the alleged harasser.

If the informal process does not resolve the complaint to the complainant's satisfaction, or if the complainant prefers, the complainant may begin the formal process. The first step in the formal process to deal with a sexual harassment complaint is for the complainant to file a verbal report of the incident to the appropriate College official. Any student, faculty member, or staff employee who knows of, receives information about, or receives a complaint of sexual harassment will report the information or

complaint to the Human Resources Officer in a timely manner. The College also reserves the right to act as “complainant” and institute formal proceedings.

<b><u>If the alleged harasser is:</u></b>	<b><u>Report the harassment to:</u></b>
Student	Dean of Students or Human Resources Officer
Staff	Human Resources Officer or Vice President of Finance
Faculty Member	Provost or Human Resources Officer
Human Resources Officer	Vice President of Finance or President of College
Other (vendor, guest)	Human Resources Officer or Vice President of Finance
Vice President of the College	Human Resources Officer or President of the College
President of the College	Chair of the Board of Trustees

The College’s Human Resources Officer is responsible for coordinating the College’s efforts to comply with and carry out its responsibilities with respect to sexual harassment complaints. If an employee or student has any questions about how to file a sexual harassment complaint, he/she should contact the Human Resources Officer or the appropriate official listed above.

### **INVESTIGATION AND RESOLUTION**

The appropriate College official contacted or his/her designee(s) will conduct the investigation with the Office of Human Resources. The investigation will include interviews of the complainant, the alleged harasser, and other persons believed to have knowledge of the allegations as well as a review of any other information pertinent to the allegations. The alleged harasser will be afforded an opportunity to respond to the allegations. Investigations of formal complaints should be concluded within twenty (20) calendar days after they are made. When it is not reasonably possible to conclude the investigation within that amount of time, the Office of Human Resources will notify the complainant and the alleged harasser in writing of the delay and the reasons for the delay.

Additionally, a complainant may elect to withdraw a complaint at any time. However, the College reserves the right to complete the investigation of all complaints where it deems necessary to protect the interests of the College and the community.

The Human Resource Officer will maintain a record of the final disposition of all formal complaints, even when such investigations result in a finding of no harassment or insufficient information to find a violation of this policy.

## **NO RETALIATION**

It is a violation of this policy to retaliate against a person for complaining of alleged harassment, or for assisting, participating, or cooperating in an investigation of sexual harassment. When a member of the College community believes retaliation has occurred, the complainant may bring a complaint under this policy. The College also has the right to make such a determination on its own. Retaliation is a basis for corrective or disciplinary action.

## **CONFIDENTIALITY**

The College will make reasonable efforts to keep all information relating to sexual harassment allegations and investigations confidential on a “need-to-know” basis, to the extent consistent with the College’s legal obligations, the need to investigate allegations of sexual harassment, and the need to take corrective and/or disciplinary action. Any person who violates provisions of this policy including confidentiality provisions will be subject to disciplinary and/or corrective action.

## **CORRECTIVE AND/OR DISCIPLINARY ACTION**

Following the College’s investigation of any alleged sexual harassment, the College will determine the appropriate corrective or disciplinary action. This may result in immediate sanctions, up to and including termination of employment for employees and immediate dismissal from the College for students if they are determined to have engaged in sexual harassment. Conduct approaching sexual harassment may also result in corrective and/or disciplinary action. For faculty members with continuous tenure, any decision to terminate shall then follow procedures for termination with adequate cause.

The President of the College, or his/her designee, may impose a summary suspension prior to the resolution of the informal or the formal proceedings. A summary suspension may be imposed when, in the judgment of the President, the accused individual’s presence on campus would constitute a threat to the safety and well-being of the members of the College community. During the summary suspension, the accused individual will not be permitted on College property without the approval of the President of the College. The accused individual will receive their regular pay during this suspension.

## **IMPROPER COMPLAINTS**

This policy shall not be used to bring frivolous or malicious complaints against anyone. Making a knowingly false complaint subjects the complainant to disciplinary or corrective action. However, failure to prove a claim of sexual harassment does not constitute proof of a false and/or malicious accusation.

## **THE APPEAL PROCESS (SEXUAL HARASSMENT GRIEVANCE COMMITTEE)**

In the event a person is found in violation of this policy, he or she may appeal the decision and/or the sanction. Such appeal must be made within ten (10) days of notice of

that decision and/or sanction. Such appeal must be made in writing and submitted to the Chair of the Sexual Harassment Grievance Committee.

The Sexual Harassment Grievance Committee will be comprised of up to ten (10) members as noted below (all have voting privileges except the Human Resources Officer):

- Two (2) students appointed by the President of the Student Government Association, or the Dean of Students. \*\*  
*\*\*The student representatives will serve on the Committee only when a student is involved in the sexual harassment appeal being heard.*
- Two (2) representatives of the College staff appointed by the President of the College.
- Two (2) representatives of the College faculty appointed by the Provost.
- The H.R. Officer shall serve in an ex officio (non-voting) capacity.
- The Provost and the Dean of Students or their designees.
- The Secretary of the Sexual Harassment Grievance Committee shall be the Administrative Assistant assigned to the Provost's Office.

The Chair of the Committee shall be approved by majority vote by the committee members.

**SEXUAL HARASSMENT GRIEVANCE COMMITTEE PROCEDURES:**

- a. Confidential notice in the form of the written appeal will be provided to the Committee and the alleged harasser and complainant. The date and time of the hearing will be provided to all persons involved (alleged harasser, complainant, committee members, and any witnesses such as the investigators of the formal complaint).
- b. A recording of the hearing including documentary or other evidence, but not the deliberation, will be made and kept secure and confidential as College property in the Human Resources Office for a period of no less than three years.
- c. All parties will be afforded an opportunity to obtain and present necessary witnesses and documentary or other evidence. Neither the alleged harasser nor the complainant may be represented by legal counsel at the hearing. A member of the College community (any non-lawyer faculty, staff or student being otherwise uninvolved in the matter) may attend at the request of a party but may not speak or participate directly in the appeal. If a committee member investigated the complaint being appealed, or otherwise was involved in the matter in a manner that makes it difficult to be impartial, he or she will not participate in Committee deliberations or vote but shall be available to testify.
- d. All parties will have the right to raise questions to the Committee to be asked of witnesses including other parties. The Committee will not be bound by strict rules of legal evidence and may hear any evidence that it deems of probative value in determining the issues involved. Decisions about procedural questions are subject to final decision by majority of the Committee. Every effort will be made to keep said evidence confidential within the proceedings. Committee decisions are determined by consensus when possible; otherwise, a simple majority rules.

- e. The Sexual Harassment Grievance Committee will make findings about the appropriateness of the decision and/or sanctions and, if it determines sanctions should be different, it will provide a clear and specific list of charges and recommended sanctions in a report to the President of the College. This will stand as the College's final decision unless timely appeal is made per the procedures below.

All steps of inquiries into complaints by the Sexual Harassment Grievance Committee will be closed and will be confidential. All members of the committee, the complainant, the alleged harasser, and all other parties involved in the hearing will be reminded of their obligation to maintain confidentiality of the complaint and evidence presented at the hearing.

The Committee may affirm the prior decision and/or sanctions, remand the matter for further investigation as to specific matters or reverse the prior decision.

### **RIGHT TO APPEAL**

The complainant and the harasser shall have the right to appeal the decision of the Sexual Harassment Grievance Committee to the President of the College if either party feels the actual process identified in this document has been violated or disagrees with the sanctions. In exercising the right of appeal to the President of the College, a written appeal must be made within ten (10) days after written notification of the decision being appealed. The President of the College may receive additional information if he/she believes the information will aid in the decision. A decision will be made within ten (10) days. The complainant and the harasser will be notified of the decision. The decision of the President of the College will be final. During the time of appeal and review by the President of the College, disciplinary action recommended as a result of the original complaint will not be implemented and/or enforced.

## **PROFESSIONAL BOUNDARIES POLICY**

### **PROFESSIONAL BOUNDARIES BETWEEN THE FACULTY/STAFF OF CATAWBA COLLEGE AND STUDENTS OF CATAWBA COLLEGE**

One of Catawba College's objectives is to help students achieve personal goals through an education rich in personal attention. To achieve that objective, Catawba College maintains a low student-faculty ratio that provides faculty with opportunities to counsel students and offer support. Flexible office hours, one-on-one guidance and genuine concern for students are hallmarks of Catawba College's faculty and staff.

While faculty and staff are encouraged to foster wholesome and appropriate relationships with students, amorous relationships between faculty or staff members and students, even of a consensual nature, are inherently problematic due to the unequal status of faculty or staff and students. Such relationships have the potential to threaten the trust and respect that are necessary for wholesome and appropriate faculty/staff-student relationships by creating:

- (1) perceived and actual undue favoritism that benefits students in consensual relationships with faculty or staff members;
- (2) a hostile and unacceptable environment for other students, faculty and staff, in which obtaining benefits appears contingent on amorous or sexual favors; and,
- (3) Relationships that are less consensual than the faculty or staff member believes because of the complex and subtle effects of the power differential between faculty/staff members and students.

By jeopardizing the quality of faculty/staff-student interaction, these problems interfere with the mission of Catawba College.

For these reasons, **faculty and staff shall not engage in consensual amorous relationships with students, even if the faculty or staff member has no immediate position of authority with respect to the student. A "consensual amorous relationship" is any romantic or physically intimate relationship.**

#### **PROCEDURES:**

##### *Implementation*

It is essential that faculty and staff members of the College be aware of their responsibilities under this policy. Central to the implementation of this College policy is avoidance of situations that may result in developing such consensual amorous relationship or even the appearance of such a relationship. Professional activities with students are of course fitting and proper; personal or private activities with students should be approached with great caution.

##### *Informal Resolution*

Attempts will be made to resolve the situation through informal and mutually satisfactory means. If the situation can be resolved, and professional and a consensual

amorous relationships properly separated, and if there is no reason to believe that further problems exist, the matter will be ended.

### Formal Complaint Procedures

Any member of the College community who believes that this faculty-staff-student policy is being violated may lodge a formal complaint to this effect with the appropriate College official(s) (i.e., students report a complaint to the Dean of Students, faculty to the Provost, staff to the Human Resources Officer unless one of these persons is involved in such instance the report can go to any of the other reporting avenues). All complaints must be in writing and will be held in the strictest confidence. Disclosure concerning the existence, source, or substance of a complaint will be solely at the discretion of the College official(s) investigating the complaint and will be limited to those who have an immediate need to know.

The Dean of Students, Provost, and the Human Resources Officer will follow a process like that in the Catawba College Sexual Harassment Policy for the investigation and initial resolution of the complaint to resolve the problem as expeditiously and confidentially as possible. This is a serious issue and has strong ramifications for both the students and the faculty/staff members involved. Students or employees will not be penalized or discriminated against in any way for reporting incidents, but knowingly filing a false or malicious complaint will be considered a violation of the Honor Code and/or College policy.

Violation of this policy may result in sanctions up to and including termination of employment for all employees except for faculty members with continuous tenure, where any decision to terminate employment will follow procedures for termination with adequate cause.

## **AMOROUS CONSENSUAL RELATIONSHIPS BETWEEN FACULTY AND STAFF**

To preserve the integrity, respect, and professionalism among faculty and staff at Catawba College, both the fact and semblance of any exploitation must be avoided. The relative difference in power—actual or perceived—in working relationships must be recognized by the faculty and staff and must not be employed to anyone's advantage or disadvantage. Therefore, a faculty or staff member shall not exercise direct supervisory, evaluative, instructional, and/or advisory responsibilities, or participate in hiring, retention, promotion, or award decisions, for someone with whom there exists or has existed a consensual amorous relationship within the previous three years.

Staff, faculty, or students who believe that this policy has been violated should report the incident to the appropriate College official(s) (i.e., Dean of Students, Provost, Human Resources Officer), who will follow a process similar to that in the Catawba College Sexual Harassment Policy for the investigation and initial resolution of the complaint to conduct an investigation and resolve the problem as expeditiously and confidentially as possible. Employees will not be retaliated against for good-faith reporting

of violations of the policy or for providing information truthfully in connection with an investigation.

Disciplinary actions under the appropriate policies concerning personal misconduct will be taken against any person bringing a malicious or frivolous complaint in bad faith.

## **SOLICITATIONS POLICY**

Catawba College wishes to maintain an environment of academic integrity and personal development free from intrusions and one that ensures that the mission of the College proceeds unhampered. The College recognizes the need to protect this environment from uncontrolled solicitations, but acknowledges the need of the campus community to support worthy causes and to have convenient access to a variety of merchandise and services. The following policy provides a means to achieve an acceptable balance of activity.

The term “solicitation” as used here means the sale, rental, or offer to sale, of any property, product, merchandise, publication or service, whether for immediate or future delivery; the distribution or display of printed material, merchandise, or products that are designed to encourage the purchase, use, or rental of any property, product, merchandise, publication or service; or the oral or written appeal or request to support or join an organization other than a registered student, faculty, or staff organization. Solicitation further means the activity or process of seeking to obtain the support of an individual for a cause, movement, doctrine, or commercial product through persuasion or formal application.

Solicitation of employees and/or distribution of literature for solicitation purposes is prohibited unless approved in accordance with the requirements set forth in this policy. The College reserves the right to withhold approval for any solicitation activities on campus property and to regulate the time, place, manner and duration of approved solicitation.

Off campus groups or individuals must obtain approval for solicitation. A letter detailing the solicitation must be received at least one week prior to the desired activity and include the following information:

- Sponsoring organization
- Contact person, local telephone number, and email address
- Purpose of solicitation
- Preferred date(s) for solicitation
- Method(s) used to solicit, including advertising and publicity
- Preferred location
- Target population
- Description (samples when possible) of products, programs and/or written materials to be distributed.

This information must be presented to the Human Resources Officer. He/she will present the request and accompanying information to the President of the College and his/her Cabinet. Approval is granted only by the President and his/her Cabinet. Only after approval is granted can the solicitation begin.



## **PROCEDURE FOR APPROVAL OF FUND-RAISING EFFORTS**

Any agent outside the Development Office (under the Vice President of Development Services) must receive prior approval for any solicitation of resources for the College. This procedure applies to all faculty/staff, friends and support groups, intercollegiate athletic programs, as well as student and alumni groups. Those who wish to solicit funds or property in the name of or for the benefit of Catawba College must communicate their intentions to the Vice President of Development Services or the Director of Development in advance of their approach. Any deviation from the procedure could result in the College's rejection of funds or resources. Acceptance of a gift, grant, or sponsorship imposes an obligation to comply with the terms established by the donor as well as IRS rules and other such governing bodies including the NCAA, SACS, etc. All gifts donated to the College must be receipted through the Development Office and accounted for in the Business Office. All gifts will be audited by the College's Business Office and subject to outside audit.

### Procedure

The following information must be included in your request:

1. A description of any soliciting or marketing effort;
2. A clearly stated goal and purpose, which conforms to the Gift Acceptance Policy and mission of the College;
3. A list of prospects to be solicited (specific individuals, businesses or groups) along with any promotional materials;
4. The name of the person who will staff the project; and,
5. A timeline for the project.

Only projects approved by the Vice President of Development Services may proceed. No deviation from the approved effort is allowed without prior approval. Deviation from the plan could result in the College's rejection of the funds or resources.

The person staffing the project must continue to coordinate the effort with the appropriate development staff member.

# **CATAWBA COLLEGE DRUG AND ALCOHOL TESTING POLICY**

## **I. POLICY/ PURPOSE**

As part of Catawba College's commitment to safeguard the health of its employees and to provide a safe place for its employees to work, this policy establishes Catawba College's position on the use or abuse of alcohol or other drugs by its employees. Drug and alcohol addiction may represent an illness with which employees may need help and treatment to deal with effectively. Substance abuse, while at work or otherwise, can seriously endanger the safety of employees. Catawba College has established this policy to detect users and remove abusers of alcohol and/or other drugs from the workplace. It is also the policy of Catawba College to prevent the use and/or presence of these substances in the workplace and to assist employees in overcoming any dependence on drugs and/or alcohol in accordance with the following guidelines.

While the College has no intention of intruding into the private lives of its employees, the College does expect employees to report to work in a condition to do their duties. The College recognizes that employees' off-the-job, as well as on-the-job, involvement with drugs and alcohol can have an impact on the workplace and on our ability to accomplish our goal of a drug and alcohol free work environment.

## **II. EMPLOYEES COVERED BY THE POLICY**

All employees are covered by this policy and, as a condition of employment, are required to abide by the terms of this policy.

Compliance with this policy is strictly voluntary. Refusal by an employee to submit to a testing procedure may, however, constitute grounds for termination or appropriate disciplinary action.

Off-the-job illegal drug use which could adversely affect an employee's job performance or which could jeopardize the safety of others, the public, or College equipment, is proper cause for administrative or disciplinary action up to and including termination of employment.

Employees who are arrested for off-the-job drug activity may be considered to be in violation of this policy. In deciding what action to take, the administration will take into consideration the nature of the charges, the employee's present job assignment, the employee's record with the College, and other factors relating to the impact and circumstances of the employee's arrest.

## **III. RESPONSIBILITY FOR ADMINISTRATION**

All employees of Catawba College are to be informed of this policy and its contents. Employees will be given a copy of this policy and will be asked to sign an "Acknowledgement of Receipt" (Attachment A). New employees will be informed of this policy and its contents by receiving a copy at the time of employment. New employees will also sign an "Acknowledgement of Receipt" (Attachment A). The Acknowledgement of Receipt will be kept in each employee's personnel file.

All employees will also be asked to read and sign a "Drug Free Work Environment Certification" form (Attachment B). A copy of this form will also be kept in each employee's personnel file.

Any questions about this policy should be directed to the Human Resources Officer.

#### IV. PROCEDURES

It will be an immediate discharge offense for an employee to use, sell, possess, manufacture, dispense, distribute, or purchase drugs or alcoholic beverages on Catawba College property. Alcoholic beverages may be served at special College sponsored events with the approval of the President of the College. It is also a violation of this policy for an employee to report to work under the influence of drugs or intoxicants. Drugs and intoxicants could include legal as well as illegal drugs.

Illegal drugs are drugs or controlled substances, which are:

- a) Not legally obtainable (example: marijuana, cocaine)
- b) Legally obtainable but not obtained or used in a lawful manner (example: prescription drugs that are not lawfully obtained and/or prescription drugs not prescribed for the individual being tested).

Legal drugs are those prescribed or over-the-counter drugs that are legally obtained by the employee and used for the purpose for which they are prescribed and sold. These drugs, even though legal, can affect the safety of the employee, fellow employees, and members of the college community. Therefore, any employee who thinks they are taking legal drugs, which may impair safety performance or any motor function, must advise his or her supervisor of such medication before reporting to work. If it is determined that such use does not pose any safety threat, the employee will be permitted to work. If such use does impair the employee's ability to safely or effectively perform his or her job, the employee may be temporarily reassigned or placed on a leave of absence during the period of treatment.

The screen and confirmation cut off readings listed below will be used to indicate that an employee has tested positive for drug or alcohol by urinalysis or breathalyzer testing:

<u>DRUG</u>	<u>SCREEN CUT-OFF</u>	<u>CONFIRMATION CUT-OFF</u>
Alcohol		
Delta-THC-9		
Carboxylic Acid ( <i>Marijuana</i> )		
Benzoylcegonine ( <i>Cocaine</i> )		
Morphine ( <i>Opiates</i> )		
Amphetamines		
Barbiturates		
Benzodiazepines		
Phencyclidine ( <i>PCP</i> )		
Methaqualone		

THESE LIMITS WILL NEED TO BE  
ESTABLISHED BY OUR NIDA CERTIFIED  
TESTING LAB

The College reserves the right to conduct a periodic review of the foregoing list and to add additional drugs to the list, with or without notice.

#### V. TESTING

All drug testing will be done by a NIDA certified laboratory. Drug and alcohol testing will be applicable in the following situations:

- 1) **All applicants for employment** who are offered employment at Catawba College. An applicant testing positive will not be considered again for employment for at least one year from the date of notification of the positive test. It is preferred that a new employee be tested prior to reporting for work. However, it is realized that under certain circumstances a new employee may start before test results are known. In such circumstances the employee's hiring is conditional upon passing the drug test. All employment offer letters are to contain a statement that employment is conditional upon passing a drug test. Employees will be required to read and sign the "Acknowledgement of Receipt" form (Attachment A) and the "Drug Free Work Environment Certification" form (Attachment B).
- 2) Testing is also applicable in situations such as:
  - a) discovery or presence of drugs in employee's possession or near the employees work station;
  - b) odor of alcohol and/or residual odor peculiar to some chemical or psychoactive substance;
  - c) arrest for a drug-related crime;
  - d) Any **employee involved in an on-the-job accident and/or injury** will be tested as soon as possible. The injured employee will be allowed to continue to work until the results of the drug and alcohol screening are known. It may be possible for this testing to be done at the medical facility if the injury requires medical attention.

### **REASONABLE CAUSE TESTING**

If the supervisor believes reasonable cause exists, those observations should be brought to the attention of the Human Resources Officer as well as the appropriate Vice President. Factors which substantiate reasonable cause must be documented on the "Substance Abuse Investigation Report" (Attachment C). Upon approval of the Human Resources Officer and/or the appropriate Vice President, the employee will be asked to consent to a test. The employee required to submit to a drug and/or alcohol test will be asked to sign a "Consent to Drug and Alcohol Screening" form (Attachment D). If the employee refuses to sign the form, he or she will be subject to discipline up to and including discharge. Employees being tested for drug and alcohol abuse as a result of reasonable cause being established will not be able to return to work until the results of the drug and/or alcohol screening are known.

The Human Resources Officer or a representative of the Catawba College Proctor Health Center will inform employees who are tested under the reasonable cause guidelines of the results. If the results of the drug and alcohol screening are negative, the employee will return to work immediately and will be paid for time lost. The Human Resources Officer will provide a letter to the employee to this effect. A copy of the letter will be placed in the employee's personnel file. If the results are positive, Catawba College may take the actions deemed necessary based upon the circumstances applicable to the case.

An employee testing positive will not return to work until test results are negative. Employees returning to work after a positive drug or alcohol test will be subject to periodic and unannounced testing for a period of one year following the return to work.

The employee will sign a "Return to Work Agreement" (Attachment G) before returning to the job.

**ADDITIONAL RULES:**

Applicants and employees will be given the opportunity prior to testing to list all drugs they have taken recently, including prescribed drugs and to explain the circumstances of the use of those drugs in writing. This listing and explanation, if any, shall be kept in confidence unless there is a positive screen. If there is a positive screen, it will be reviewed by those necessary on a strictly need-to-know basis.

Any applicant or employee who adulterates a specimen or attempts to invalidate a test will be considered as having received a positive result.

Three hours will be the maximum time allowed for collection of the urine sample. Any applicant or employee who submits a cold sample will be allowed three hours to provide another sample. The applicant or employee will have to remain in the testing area under the close supervision of the technician until the new sample is produced.

An employee who is discharged for distributing or possession of drugs in violation of this policy will not be eligible for rehire. Employees discharged or suspended for positive results on random and/or for cause drug testing are not eligible for rehire for one year from the date the test results became known.

**SELF-IDENTIFICATION GUIDELINES:**

Employees who recognize they may have an alcohol and/or drug abuse problem may request assistance through the Catawba College Group Health Care Plan or the Catawba College Proctor Health Center. There are special guidelines that must be followed in the health care plan. The Human Resources Officer is available to help. We also have a Personal Counselor on staff that will be glad to assist, if needed.

Employees who voluntarily request assistance with drug and alcohol abuse problems may do so without jeopardizing continued employment with Catawba College provided they enroll in and strictly adhere to all the terms of outside treatment and counseling programs as may be recommended through the treating facility.

Voluntary requests for assistance do not prevent disciplinary actions for prior positive test results or any on-going or future violation of the work rules at Catawba College.

In keeping with the College's need for safety and security, supervision and/or management will determine whether the College should grant a leave of absence during the period of treatment or counseling.

**CONFIDENTIALITY:**

Identities of applicants and employees tested, the reason for such tests, test results, and employee use of our health care plan are matters of the greatest confidence. Only those

individuals with a strict need-to-know will be informed. All drug and alcohol test results will be transmitted to the Catawba College Proctor Health Center.

**OFF-THE-JOB USE:**

Off-the-job illegal drug use which could adversely affect an employee's job performance or which could jeopardize the safety of others, the public, or College equipment, is proper cause for administrative or disciplinary action up to and including termination of employment.

Employees who are arrested for off-the-job drug activity may be considered in violation of this policy. In deciding what action to take, management will take into consideration the nature of the charges, the employee's present job assignment, the employee's record with the College and other factors relating to the impact and circumstances of the employee's arrest. If the employee is charged with a "felony", he/she will be suspended, without pay, until the disposition of the charges. If the employee is found innocent, he/she will return to work with no loss of benefits or seniority. If the employee is found guilty of the charges, his/her employment will be terminated.

## **DEFINITIONS:**

### Under the Influence:

For the purpose of this policy, being under the influence means that the employee is affected by a drug or alcohol or the combination of a drug and alcohol in any detectable manner. The symptoms of influence are not confined to those consistent with misbehavior, or to obvious impairment of physical or mental ability, such as slurred speech or difficulty in maintaining balance.

### Illegal drug:

Illegal drug means any drug (a) not legally obtainable or (b) legally obtainable but not legally obtained or used. Therefore, the term includes prescription drugs obtained illegally and prescription drugs not being used for prescribed purposes. It also includes marijuana, cocaine and heroin and derivatives of those drugs, among other illegal drugs.

### Legal drug:

Legal drug includes prescribed and over-the-counter drugs legally obtained and being used for the purpose for which they were prescribed and/or manufactured.

### Premises:

Premises include all buildings, vehicles, and other facilities used by the College to conduct its operations.

### Reasonable Cause/Reasonable Suspicion:

For all purposes under this policy, reasonable cause/suspicion shall be defined as a belief based on observed, specific, objective facts where the rational inference to be drawn under the circumstances is that the person is under the influence of drugs or alcohol. An unexplained workplace accident may be considered to provide reasonable cause/suspicion.

### Criminal Drug Statute:

For the purpose of the policy, criminal drug statute means a federal, state or local criminal statute involving the manufacture, distribution, dispensing, possessing or use of any controlled substance.

### Controlled Substance:

For the purpose of the policy, controlled substance means a controlled substance in Schedules I through V of Section 202 of the Controlled Substance Act (21 U.S.C. 812) and as further defined in regulation 21 CFR 1308.11-1308.15.

### Conviction:

For the purpose of the policy, conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged

with the responsibility to determine violations of the federal or respective state criminal drug statutes.

**SEARCHES:**

The College reserves the right to conduct unannounced searches of its property, vehicles, and facilities, including work areas, desks and lockers assigned to employees, at any time. No employee has the right to interfere with or object to such searches of College property based on expectations of privacy or otherwise.

The College reserves the right to search personal property belonging to its employees, such as but not limited to, lunch boxes or bags, pocketbooks or briefcases if such property is brought onto College premises or into College vehicles.

College searches of the persons of employees, including articles of clothing being worn by employees, are prohibited.

**RIGHT TO AMEND:**

The College reserves the right to amend any or all of this drug testing policy or to terminate it in its entirety should either action be deemed necessary.



## **ACCESS TO STUDENT INFORMATION POLICY**

Because of the federal requirements governing the protection of student academic records, it is important that you know your responsibilities when provided access to sensitive information. The Family Education Rights and Privacy Act (FERPA) applies to all schools that receive funding from the Department of Education. Breach of FERPA enforcement could result in the revocation of all federally awarded financial aid funding. Breach of institutional policy could result in revocation of your student access privileges, revocation of your Catawba College computer account, or dismissal from the College, depending upon the severity of the breach.

All College personnel, by virtue of their employment, are accountable for the responsible use of student information. This includes insuring the confidentiality, integrity, and accuracy of student records. Use of student records should be limited to specific institutional purposes within the official duties of each faculty/staff member. FERPA stipulates that information may be released to College employees only when the disclosure of information is to a staff member who has “legitimate educational interest” in the student information. Legitimate educational interest is defined by your role with the College. Information cannot be provided to external parties for commercial or unauthorized use, nor can information be used for purposes outside of one’s job responsibilities.

Any questions regarding the release of student information should be directed to the Registrar’s Office.

## **WORKPLACE VIOLENCE**

The College will not tolerate workplace violence in the form of threats, or harassment, or of physical attacks. A threat is the direct, or indirect, communicated intent to cause harm to a fellow employees or student’s health, safety, or property. Harassment includes threats of, or actual harm to, a fellow employees or students physical or mental health. A physical attack is the assault of a fellow employee or student with, or without, a weapon.

Acts of this nature will result in disciplinary action up to and including immediate termination of employment.

If an employee of the College feels that he/she has been the subject of workplace Violence, he/she should report the incident immediately to his/her supervisor, department head, or to the Human Resources Officer.

# **CATAWBA COLLEGE BUSINESS ETHICS POLICY**

## **PURPOSE**

Catawba College employees will maintain the highest ethical standards in the conduct of College affairs. Intent of this policy is that each employee will conduct the College's business with integrity and comply with all applicable laws in a manner that excludes considerations of personal advantage or gain.

## **BUILD TRUST AND CREDIBILITY**

The success of our business is dependent on the trust and confidence we earn from our employees, customers, vendors, parents and students. We gain credibility by adhering to our commitments, displaying honesty and integrity and reaching College goals solely through honorable conduct. It is easy to say what we must do, but the proof is in our actions. Ultimately, we will be judged on what we do.

When considering any action, it is wise to ask: will this build trust and credibility for Catawba College? Will it help create a working environment in which Catawba College can succeed over the long term? Is the commitment I am making one that I can follow through with? The only way we will maximize trust and credibility is by answering "yes" to those questions and by working every day to build our trust and credibility.

## **RESPECT FOR THE INDIVIDUAL**

We all deserve to work in an environment where we are treated with dignity and respect. Catawba College is committed to creating such an environment because it brings out the full potential in each of us, which, in turn, contributes directly to the success of the College. We cannot afford to let anyone's talents go to waste.

Catawba College is an equal employment/affirmative action employer and is committed to providing a workplace that is free of discrimination of all types from abusive, offensive, or harassing behavior. Any employee who feels harassed or discriminated against should report the incident to his or her supervisor or to the Human Resources Officer.

## **CREATE A CULTURE OF OPEN AND HONEST COMMUNICATION**

At Catawba College everyone should feel comfortable to speak his or her own mind, particularly with respect to ethics concerns. Managers/supervisors have a responsibility to create an open and supportive environment where employees feel comfortable raising such questions. We all benefit tremendously when employees exercise their power to prevent mistakes or wrongdoing by asking the right questions at the right times.

Catawba College will investigate all reported instances of questionable or unethical behavior. In every instance where improper behavior is found to have occurred, the College will take appropriate action. We will not tolerate retaliation against employees who raise genuine ethics concerns in good faith.

Employees are encouraged, in the first instance, to address such issues with their managers/supervisors or the Human Resources Officer, as most problems can be resolved quickly. If for any reason that is not possible or if the employee is not comfortable raising

the issue with his or her manager/supervisor the Human Resources Officer does operate with an open-door policy.

### **SET TONE AT THE TOP**

The administration of the College has the added responsibility for demonstrating, through their actions, the importance of this code. In any business, ethical behavior does not simply happen; it is the product of clear and direct communication of behavioral expectations, modeled from the top and demonstrated by example.

To make our code work, managers/supervisors must be responsible for promptly addressing ethical questions or concerns raised by employees and for taking the appropriate steps to deal with such issues. Managers should not consider employees' ethics concerns as threats or challenges to their authority, but rather as another encouraged form of business communication. At Catawba College, we want the ethics dialogue to become a natural part of daily work.

### **UPHOLD THE LAW**

Catawba College's commitment to the integrity begins with complying with laws, rules and regulations where we do business. Further, each one of us must have an understanding of the College policies, laws, rules and regulations that apply to our specific roles. If we are unsure of whether a contemplated action is permitted by law or College policy, we should seek the advice from the senior administrator responsible for the area in which we work. We are responsible for preventing violations of law and for speaking up if we see possible violations.

Because of the nature of our business, some legal requirements warrant specific mention here.

#### **Competition**

We are dedicated to ethical, fair and vigorous competition. We will "sell" our services based on their merit, superior quality, functionality and competitive pricing. We will make independent pricing and marketing decisions and will not improperly cooperate or coordinate our activities with our competitors. We will not offer or solicit improper payments or gratuities in connection with the purchase of services for Catawba College or the sales of its services, nor will we engage or assist in unlawful boycotts of particular customers, suppliers, etc.

#### **Proprietary Information**

It is important that we respect the property rights of others. We will not acquire or seek to acquire improper means of a competitor's proprietary or confidential information. We will not engage in unauthorized use, copying, distribution or alteration of software or other intellectual property.

#### **Selective Disclosure**

We will not selectively disclose (whether in one-on-one or small discussions, meetings, presentations, proposals or otherwise) any material nonpublic information with

respect to Catawba College, its securities, business operations, plans, financial condition, results of operations or any development plan. We should be particularly vigilant when making presentations or proposals to ensure that our presentations do not contain material nonpublic information.

### **Health and Safety**

Catawba College is dedicated to maintaining a healthy environment. A safety committee is in existence and safety rules and regulations are in place.

## **AVOID CONFLICTS OF INTEREST**

### **Conflicts of Interest**

We must avoid any relationship or activity that might impair, or even appear to impair, our ability to make objective and fair decisions when performing our jobs. At times, we may be faced with situations where the business actions we take on behalf of the College may conflict with our own personal or family interests because of the course of action that is best for us personally may not be the best course of action for the College. We owe a duty to the College to advance its legitimate interests when the opportunity to do so arises. We must never use Catawba College property or information for personal gain or personally take for ourselves any opportunity that is discovered through our position with the College.

Here are some other ways in which conflicts of interest could arise:

1. Being employed (you or a close family member) by, or acting as a consultant to, a competitor or potential competitor, supplier or contractor, regardless of the nature of the employment, while you are employed with the College.
2. Hiring and/or supervising family members or closely related persons.
3. Owning or having a substantial interest in a competitor, supplier or contractor.
4. Having a personal interest, financial interest or potential gain in any Catawba College transaction.
5. Placing company business with a firm owned or controlled by a Catawba College employee or his or her family.
6. Accepting gifts, discounts, favors or services from a customer/potential customer, competitor or supplier, unless equally available to all Catawba College employees.

Determining whether a conflict of interest exists is not always easy to do. Employees with a conflict of interest question should seek advice from the member of the senior administrator responsible for the area where the employee works. Before engaging in any

activity, transaction or relationship that might give rise to a conflict of interest, employees must seek review from their manager/supervisor and/or the Human Resources Officer.

### **Gifts, Gratuities and Business Courtesies**

Catawba College is committed to competing solely on a merit of our services. We should avoid any actions that create a perception that favorable treatment of outside entities by the College was sought, received or given in exchange for personal business courtesies. Business courtesies include gifts, gratuities, meals, refreshments, entertainment or other benefits from persons or companies with whom the College does or may do business. We will neither give nor accept business courtesies that constitute, or could reasonably be perceived as constituting, unfair business inducements that would violate law, regulation or policies of the College or would cause embarrassment or reflect negatively on the College's reputation.

Most business courtesies offered to us in the course of our employment are offered because of our positions with the College. We should not feel any entitlement to accept and keep a business courtesy. Although we may not use our position at the College to obtain business courtesies, and we must never ask for them, we may accept unsolicited business courtesies that promote successful working relationships and good will with the firms that the College maintains or may establish a business relationship with.

Employees who award contracts or who can influence the allocation of business, who create specifications that result in the placement of business or who participate in negotiation of contracts must be particularly careful to avoid actions that create the appearance of favoritism or that may adversely affect the College's reputation for impartiality and fair dealing. The prudent course is to refuse a courtesy from a supplier when the College is involved in choosing or reconfirming a supplier or under circumstances that would create an impression that offering courtesies is the way to obtain Catawba College business.

### **Meals, Refreshments and Entertainment**

We may accept meals, refreshments, entertainment and similar business courtesies that are shared with the person who has offered to pay for the meal or entertainment, provided that:

- They are not inappropriately lavish or excessive.
- The courtesies are not frequent and do not reflect a pattern of frequent acceptance of courtesies from the same person or entity.
- The courtesy does not create the appearance of an attempt to influence business decisions, such as accepting courtesies or entertainment from a supplier whose contract is expiring in the near future.

- The employee accepting the business courtesy would not feel uncomfortable discussing the courtesy with his or her manager or co-worker or having the courtesies known by the public.

### **Gifts**

Employees may accept unsolicited gifts, other than money, that conform to the reasonable ethical practices of the marketplace, including:

- Flowers, fruit baskets and other modest presents that commemorate a special occasion.
- Gifts of nominal value, such as calendars, pens, mugs, caps and t-shirts (or other novelty, advertising or promotional items).

Generally, employees may not accept compensation, honoraria or money of any amount from entities with whom the College does business. Tangible gifts (including tickets to a sporting or entertainment event) that have a market value greater than \$100 may not be accepted unless approval is obtained from the employee's manager/supervisor.

### **Offering Business Courtesies**

Any employee who offers a business courtesy must assure that it cannot reasonably be interpreted as an attempt to gain an unfair business advantage or otherwise reflect negatively upon the College. An employee may never use personal funds or resources to do something that cannot be done with College resources. Accounting for business courtesies must be done in accordance with approved College procedures.

We may provide nonmonetary gifts (i.e., College logo apparel or similar promotional items) to our customers, suppliers, vendors, and others in the community. Further, senior administration may approve other courtesies, including meals, refreshments or entertainment of reasonable value, provided that:

- The practice does not violate any law or regulation or the standards of conduct of the recipient's organization.
- The business courtesy is consistent with industry practice, is infrequent in nature and is not lavish.
- The business courtesy is properly reflected on the books and records of the College.

### **SET METRICS AND REPORT RESULTS ACCURATELY**

### **Accurate Public Disclosures**

We will make certain that all disclosures made in financial reports and public documents are full, fair, accurate, timely and understandable. This obligation applies to all employees, including all financial executives, with any responsibility for the preparation for such reports, including drafting, reviewing and signing or certifying the information contained therein. No business goal of any kind is ever an excuse for misrepresenting facts or falsifying records.

Employees should inform the senior administrative officer that manages their particular area and/or the Human Resources Officer if they learn that information in any filing or public communication was untrue or misleading at the time it was made or if subsequent information would affect a similar future filing or public communication.

### **Corporate Recordkeeping**

We create, retain and dispose of our College records as part of our normal course of business in compliance with all College policies and guidelines, as well as all regulatory and legal requirements.

All College records must be, to the best of our knowledge, true, accurate and complete, and College data must be promptly and accurately entered in our books in accordance with the College's and other applicable accounting principles.

We must not improperly influence, manipulate or mislead any unauthorized audit, nor interfere with any auditor engaged to perform an internal independent audit of College books, records, processes or internal controls.

## **PROMOTE SUBSTANCE OVER FORM**

At times, we are all faced with decisions we would rather not have to make and issues we would prefer to avoid. Sometimes, we hope that if we avoid confronting a problem, it will simply go away.

At Catawba College, we must have the courage to tackle the tough decisions and make difficult choices, secure in the knowledge that the College is committed to doing the right thing. At times this will mean doing more than simply what the law requires. Merely because we can pursue a course of action does not mean we should do so.

Although the College's guiding principles cannot address every issue or provide answers to every dilemma, they can define the spirit in which we intend to do business and should guide us in our daily conduct.

### **Accountability**

Each of us is responsible for knowing and adhering to the values and standards set forth in this code and for raising questions if we are uncertain about College policy. If we

are concerned whether the standards are being met or are aware of violations of the code, we must contact the senior administrator managing our area and/or the Human Resources Officer.

Catawba College takes seriously the standards set forth in this code, and violations are cause for disciplinary action up to and including termination of employment.

## **BE LOYAL**

### **Confidential and Proprietary Information**

Integral to Catawba College's business success is our protection of confidential information, as well as nonpublic information entrusted to us as employees, customers and other business partners. Confidential and proprietary information includes such things as costs, financial data, personal information of our employees, or nonpublic information about other companies, including current or potential suppliers and vendors. We will not disclose confidential and nonpublic information without a valid business purpose and proper authorization.

### **Use of College Resources**

College resources, including time, material, equipment and information, are provided for College business use ONLY.

Employees and those who represent the College are trusted to behave responsibly and use good judgment to conserve College resources. Managers/supervisors are responsible for the resources assigned to their areas and are empowered to resolve issues concerning their proper use.

We will not use College equipment such as computers, copiers and fax machines in conducting outside business or in support of any religious, political or other outside daily activity, except for College requested support to nonprofit organizations. We will not solicit contributions or distribute non-work related materials during work hours.

In order to protect the interests of the College network and our fellow employees, the College reserves the right to monitor or review all data and information contained on an employee's College issued computer or electronic device, the use of the Internet, or the use of the intranet. We will not tolerate the use of College resources to create, access, store, print, solicit or send any materials that are harassing, threatening, abusive, sexually explicit or otherwise offensive or inappropriate.

### **Media Inquiries**

Catawba College is a high profile institution in our community, and from time to time, employees may be approached by reporters and other members of the media. In order to ensure that we speak with one voice and provide accurate information about the College, we should direct all media inquiries to the Chief Communications Officer. No one may issue a press release without first consulting with the Chief Communications Officer.



## **DO THE RIGHT THING**

Several key questions can help identify situations that may be unethical, inappropriate or illegal. Ask yourself:

- Does what I am doing comply with the College's guiding principles, code of conduct and other policies?
- Have I been asked to misrepresent information or deviate from normal practices?
- Would I feel comfortable describing my decision at a staff meeting?
- How would it look if it made the headlines?
- Am I being loyal to my family, the College, and myself?
- What would I tell my child to do?
- Is this the right thing to do?

## **CATAWBA COLLEGE FRAUD AND IRREGULARITY POLICY**

The College is committed to high standards of ethics, conduct and fiduciary responsibility. As such, it is essential that the College have effective and consistent procedures for responding to allegations of fraud and irregularity. The response mechanism must be clear, appropriate, timely and effectively focused if it is to protect the College and its employees.

This policy applies to all members of the College community including faculty, staff, students, volunteers, partners, consultants and service and supply contractors and their employees while they are engaged in activities related to their engagement with the College.

“Fraud” is defined as a deliberate and/or unlawful deception, misrepresentation or concealment of facts practiced to secure advantage, benefit or gain and/or to cause a loss to another. “Irregularity” is defined as an activity or potential activity that deliberately disregards College policies or procedures.

Fraud, including fraud that benefits the College, will not be tolerated. Employees who commit an act of fraud, or an act of irregularity, will be subject to disciplinary action up to and including termination of their employment.

Any losses incurred through an act of fraud will be recovered by the College to the extent possible.

All employees of the College (faculty, staff, students, and others) have an obligation to report suspected fraud or irregularity.

Catawba College prohibits retaliation, including, but not limited to, making threatening communication by verbal, written, and/or electronic means, against any individual who reports and/or communicates any information concerning unlawful practices and/or violations of College policies, rules and standards of conduct. Any employee found engaged in retaliation will be subject to disciplinary action up to, and including, termination of employment.

The College will not discharge or discriminate against any employee with respect to compensation, terms, conditions, or privileges of employment because the employee (or any other person acting pursuant to the request of the employee) reports, discloses, testifies, or otherwise informs any local, state or federal government authority, or the Chair of the Board of Trustees and/or his/her designee.

The College shall ensure that allegations made by an employee of misconduct or other irregularities on the part of anyone associated with the College are dealt with impartially, respecting the rights of the involved parties for confidentiality and disclosure.

Once established, the Fraud Hotline telephone number will be published on the website.

## **PERSONAL USE OF COLLEGE FACILITIES AND EQUIPMENT**

All employees are expected to perform their normal work duties during their scheduled work hours. Use of College telephones for personal matters should be limited, whether the calls are incoming or outgoing. When such calls are necessary, they should be as brief as possible.

Employee work areas, desks, office equipment and vehicles are examples of facilities and equipment provided by the College. The College reserves the right to enter these work areas and monitor the use of vehicles and office equipment.

Personal use of College equipment or supplies such as vehicles, copy machines, facsimile machines, computers and other equipment and supplies is expressly prohibited unless the employee receives prior approval from his/her supervisor. The employee assumes responsibility for any damage to the College equipment while they are using the equipment without permission.

## **CAR REGISTRATION**

A car, which will be operated and parked on the College campus, must be registered at the Office of Public Safety on the first day of employment. At that time, the employee will receive a copy of the regulations and a parking sticker/hang tag. The sticker/hang tag is to be displayed on the employee's vehicle. Please read and observe these regulations to assure an orderly flow of traffic and parking.

## **INCLEMENT WEATHER POLICY**

*The following policy governs decisions relevant to inclement weather:*

1. In the event of inclement weather, the President of the College will determine if the College will be closed or delayed. If the inclement weather comes in during the day, a decision about evening classes (School of Graduate and Evening Studies) will be made by 1:00pm on the day in question.
2. The College will be closed to all non-critical employees and all classes will be cancelled if extremely hazardous conditions prevail throughout the region. This information will be communicated to members of the campus community through the CatawbAlerts notification system and the same information will be available on the college website at <http://e2.catawba.edu>. A secondary method of notification will be the regional media outlets listed on the Catawba College website and found listed in this policy.
3. The President of the College will also determine if the College will operate on a delayed schedule and this information will be communicated through the CatawbAlerts notification system and through the college website at <http://e2.catawba.edu>, and secondarily on the regional media outlets listed on the Catawba College website and found listed in this policy.
4. If no announcement is made through the CatawbAlerts system and/or the media outlets, then the College is open and operating on a regular schedule.
5. If you have questions about whether to report to work or not, you may call (704) 637-4000 (Office of Public Safety) to verify the status of the College.
6. During periods of inclement weather, all employees should exercise caution and common sense in determining their ability to travel to the College on those days when the College is open. Given the diversity of our College staff, there is a wide variation in where individuals live as well as in the need for them being at work at any particular time. Staff members and the College share, however, an interest and a concern for both getting the work done and protecting the well-being of those performing the work. In this spirit, it is anticipated that staff members will make every effort consistent with their own safety to be at work, especially those in critical positions and responsible for the provision of essential services (Office of Public Safety, Dining Services, Maintenance, Housekeeping, Office of Student Affairs, and others). Staff who are unable to travel to the campus due to inclement weather will have to use available benefit days/ hours to cover their absence if the college does not operate on a delay or closing.
7. The Chief Communications Officer and/or his/her staff will notify local and regional radio and television stations regarding the College operations. The media outlets are listed below as well as on the Catawba College website.

**MEDIA OUTLETS TO BE USED BY CATAWBA COLLEGE IN CASE OF INCLEMENT WEATHER**

In the event of inclement weather, the following media outlets will be used as a secondary way to notify faculty, staff, and students of cancellations or delays and they will broadcast pertinent information concerning Catawba College's schedule.

**TELEVISION STATIONS:**

WXII-Winston Salem

WBTV-Charlotte

WSOC-Charlotte

WCNC-Charlotte

FOX Carolinas – Charlotte

WFMY-Greensboro

WGHP-Greensboro/High Point

Time Warner Cable News 14-Charlotte

**RADIO STATIONS:**

WSAT-AM (1280)-Salisbury

WSTP-AM (1490)-Salisbury

## **WEAPONS ON CATAWBA COLLEGE PROPERTY**

It is against College policy to possess weapons (concealed or otherwise) on the College campus. This can be defined as any illegal or unauthorized possession of firearms, explosives, other weapons or dangerous chemicals on College premises or use of any such item even if legally possessed, in a manner that harms, threatens, or causes fear to others. No person, including but not limited to students, faculty, or staff shall possess, or carry, whether openly or concealed, any gun, rifle, dynamite cartridge, bomb, grenade, mine, explosive, bowie knife, dirk, dagger, sling-shot, leaded cane, switchblade knife, blackjack, metal knuckles or any other weapon of like kind, not used solely for instructional or College-sanctioned ceremonial purposes, in any public or private College building or vehicle. Regardless of faculty/staff residence location on campus, Catawba continues to prohibit weapons as outlined in our policy. Possession of any type of firearm, explosive (including any type of fireworks) or any other weapon is not allowed on campus. All BB, pellet, or air rifles are considered firearms and are not permitted on campus.

This policy pertains to all campus areas including, but not limited to, common areas, public or private buildings, vehicles, student housing, and any campus residences occupied by full-time and/or part-time employees of the College.

This policy does not apply to law enforcement personnel who are on campus in the conduct of their duties.

Persons violating the provisions of this section may also violate state and/or federal law and be subject to fines and penalties. Catawba College will implement strict consequences for members who violate these provisions, and violators are subject to termination, suspension and/or expulsion from the College.

## **VIOLENCE ON OUR CAMPUS**

There are several indications of a potential threat which, taken by themselves, may not be immediately obvious. Nevertheless, you may only be seeing part of what is going on and so it's very important to tell a supervisor or campus resource person any cause for concern that you may have.

Warning signs can manifest themselves in many forms: one-on-one settings, group interaction, public behavior, letters, e-mails, blogs, websites, social networking sites, photos, phone calls, text messages, etc.

## **THE SAFETY OF OUR CAMPUS IS EVERYONE'S RESPONSIBILITY**

We are fortunate to have a Threat Assessment Team (TAT) on campus. The TAT has three major functions:

- Identification of a potential perpetrator,
- Assessment of the risk of violence posed by a given perpetrator at a given time, and
- Management of both subject and the risks that he/she presents to a given target.

TAT Members include:

Dean of Students  
Director of Public Safety  
Director of Health Services  
Student Conduct Officer/Director of Residential Life  
Student Affairs Administrative Assistant  
Director of Counseling and Disability Services  
College Counselor

To report any concerns all you need to do is: **TELL SOMEONE!!!**

Tell a colleague and/or your supervisor  
Call Public Safety at (704) 637-4000  
Call the Dean of Students at (704) 637-4410  
Call 911 if threat appears to be immediate  
File a report through CatLink  
Login to CatLink  
Under the Home Tab, click on the CatWatch link  
Fill out the form

Emergency web pages can be found at: <http://catawba.edu/students/emergency-information/>

And remember----

**SILENCE CREATES AN ENVIRONMENT THAT FACILITATES VIOLENCE.**

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## **STAFF POLICIES AND PROCEDURES**

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### **STAFF ORIENTATION PERIOD**

Most employees (staff employees only) will be subject to a 60-day orientation period. During this time, employees will receive information and instructions on the duties of their positions. Supervisors will review an employee's progress and performance during this period, and at the same time, new employees can review their own satisfaction. During the orientation period, supervisors will strive to provide the employee with performance reviews at intervals of two weeks, four weeks, and six weeks. If either the supervisor or the employee is not satisfied with these reviews, employment may be terminated.

Employees remain employed at-will following the orientation period and the College is not obligated to provide any form of counseling or progressive discipline prior to dismissing an employee at any time.

### **STAFF HOURS OF WORK**

Catawba College serves both students and the public. Thus, there are variations in work schedules within the College. Working hours must be scheduled to satisfy the needs of the department and to make certain that an adequate staff is available when needed. Work schedules depend upon the job to be performed. The supervisor will inform employees about normal schedule and subsequent changes which are required.

Full-time employees in administrative offices are normally scheduled to work 40 hours per week, Monday through Friday. However, occasional weekend work may be required. College offices are usually open from 8:00 a.m. to 5:00 p.m., Monday through Friday.

### **STAFF TRANSFERRING TO ANOTHER JOB**

To promote career growth and growth of the College through employee talent, Catawba College uses an internal posting process.

The department with a hiring need will submit a Request for Personnel Form to the Human Resources Office. The Human Resources Officer is responsible for posting all regular position vacancies and advertising with various agencies, including newspapers and the Employment Security Commission.

The Human Resources Officer will send out a campus community email in regards to the open position.

Interested employees/applicants will contact the Human Resources Officer for employment consideration.



The Human Resources Officer will present the list of employee applicants/applications to the hiring supervisor.

The hiring supervisor will review the employee applicants/applications for the position and decide on those to be interviewed for the position.

The Human Resources Officer will notify the employees selected to be interviewed and those on the cut list through a private individual email as to the status of their application.

The hiring supervisor will schedule interviews with the employees selected. It is highly recommended that any discussion on the salary for the position take place during the applicant's interview.

After the interviews, if there is still a mutual interest on the part of the hiring supervisor and the current employee to continue the hiring process the following steps will take place. The employee's current supervisor will be contacted by the hiring supervisor. This supervisor to supervisor contact can only begin to take place after a 48 hour time period has elapsed from the employee's interview. This will allow either party to reconsider their decision. The employee, in good faith, should notify their current supervisor that a potential inter-departmental employment change may occur.

Once the hiring supervisor offers the position to a current employee and it is accepted by the current employee, the Human Resources Officer will assist and mediate with the employment transition.

Each position is posted as an email message to all staff and faculty members for five (5) working days to give current employees the opportunity to apply for first consideration. To be eligible for consideration, you must have been in your current job assignment for at least one (1) year.

After the five-day posting period, external applicants will be considered. If a current employee informs the Human Resources Officer of his/her interest in the open job after the five-day posting period has ended, he/she will be considered along with the external applicants.

If an offer is extended to, and accepted by the employee, the two supervisors, along with the employee will decide on a transfer date. The employee should report to the new position within two (2) weeks; however, extenuating circumstances may require a longer or shorter transition period.

When an employee transfers to another position, another orientation period (60 days) begins. The new supervisor will review the new employee's progress and performance during this period and, at the same time, the new employee can review his/her own satisfaction. If either the new employee or his/her supervisor is not satisfied with these reviews, the new employee's employment may be terminated. Depending upon the circumstances, he/she may be offered another position with the College; however, the College does not guarantee this option. The employee does not have the right to return to his/her previous position, unless that position is still available and the supervisor approves.

An employee must stay in this new position for one (1) year before he/she becomes eligible to request another opportunity to transfer into another position.

The College reserves the right to transfer an employee into another position, when such action becomes necessary even if the employee has not been in his/her current position for one (1) year.

## **STAFF TERMINATION POLICIES**

### **Resignation**

Proper notice for resignation includes a minimum of two weeks for staff employees in hourly positions and one month for staff employees in salaried positions. Upon resignation, the employee will be entitled to benefit days based on the formula set forth in the Vacation Policy.

### **Discharge (Termination)**

The College reserves the right to release any staff employee from employment. The “employment at-will” doctrine applies both to the College staff employees along with non-tenured faculty. Should this occur, information about benefits is available from the Human Resources Office. Upon termination, the employee will be entitled to benefit days based on the formula set forth in the Vacation Policy.

## **RETIREMENT**

The College does not have a mandatory retirement age. When an employee retires, he/she will have participated in the Social Security Program. The employee and the College share the contributions toward this program equally. The Social Security Administration establishes the amount of contribution and the benefits received on retirement. The Human Resources Officer can provide information about any continuation of benefits the employee will receive from the College.

For employees (staff and faculty) hired by the College prior to, or on, May 31, 1994, an early retirement plan is available. The purpose of this plan is to provide financial support to employees who wish to retire at age 62 up to the first day of the month when the employee reaches age 65. The early retirement plan will not be available to persons entering into service with the College after May 31, 1994.

## **STAFF CALL BACK PAY**

Staff members (primarily housekeeping and/or maintenance) may be called back to work for emergency reasons at times other than their regular work hours. Whenever hourly paid or salaried non-exempt employees are called back for emergency reasons they will be guaranteed a minimum of two hours pay at their regular straight time hourly rate. Should the emergency require that the employee work longer than two hours, the employee should be paid for the number of hours actually worked. Should additional emergencies arise while the employee is on campus for emergency reasons, all emergencies will be considered as one call back in determining the minimum amount to be paid. If the employee chooses and if the employee's supervisor approves, the employee may elect to take the emergency pay as time off as long as it is taken during the same week in which the emergency pay is earned. Such emergency call back should not be confused with work scheduled in advance for normal non-duty hours or days.

## **STAFF VACATION**

Full-time, 12-month staff employees, those who are scheduled to work at least 30 hours a week, are entitled to vacation according to the length of time they have worked at the College (date of hire). The schedule for employees hired on, or after, June 1, 2015 is as follows: (this schedule applies to ALL Staff employees including members of the President's Cabinet)

- 1 week after one year of service
- 2 weeks after three years of service
- 3 weeks after five years of service

Vacations are deemed to be currently earned and are not to accumulate beyond a year. Employees will be able to carry over unused vacation days up a maximum of 5 days (40 hours) into the next employment year. However, vacation days carried over into the next year must be used first or they will be lost at the end of the next year.

As an example, if you are eligible for 15 days of vacation and you only take 10 days of vacation, then you can carry over the 5 unused vacation days into the next employment year. Those 5 days must be used during that year or they will be forfeited.

Should a paid College holiday, such as Independence Day, fall during an employee's vacation, the holiday will not be counted as a vacation day.

If an employee needs time away from work in excess of earned vacation time, he/she may request leave without pay. If the workload of the department permits and a mutually agreeable time can be arranged with the supervisor, such leave may be granted with the approval of the supervisor.

## **STAFF SICK DAY POLICY**

As of June 1, 2015 each full-time staff employee will be eligible for one sick day per month and can accumulate up to a maximum of 30 days. Employees who have accumulated more than 30 days prior to June 1, 2015 will be allowed to use those days.

Sick days are to be used for personal sickness of the employee or their immediate family to include, dependent children (as defined by the IRS), spouse/partner, and parents of the employee. The College reserves the right to require employees using sick days to provide a doctor's statement to verify the need to be out of work. The College will preserve the confidentiality of any medical information received from an employee's doctor.

Sick days cannot be used by an employee to retire and use their accrued sick days to continue their salary.

If an employee leaves the College and they have taken more paid sick time off than they were eligible for, then the College will reduce the employee's final pay by the number of days taken that the employee had not earned.

If an employee needs time away from work in excess of the number of available sick days, said employee may request leave without pay. If the workload of the department permits and a mutually agreeable accumulated time can be arranged with the supervisor, such leave may be granted with the approval of the supervisor.

## **STAFF PERSONAL DAY POLICY**

Full-time staff employees are granted 32 hours of personal time off on June 1st of each year. These days can be taken at the employee's discretion with their supervisor's approval. These hours must be taken between June 1st and May 31st and cannot be carried over into the following fiscal year. Acceptable uses include personal business, doctor appointments, attending events at your child's school, bereavement days, etc.

## **STAFF COUNCIL**

On behalf of staff employees, this council examines personnel issues and policies including staff benefits, welfare, and professional development programs. This committee is responsible for making recommendations regarding:

- The recruitment and orientation of new staff employees;
- Staff benefits and welfare;
- Staff professional development programs;
- Coordination and promotion of interdepartmental working relationships across the campus; and,
- Coordination and fostering of a better working relationship within the College community, including students, staff, faculty, and administration.

This committee does not address matters relating to individual grievances or salaries. Grievance procedures are outlined in the Grievance Procedure policy found elsewhere in the Handbook.

## **RULES OF CONDUCT FOR STAFF**

The College reserves the right to use whatever method of discipline or remedial action it deems appropriate to address particular situations. The College makes no guarantee of progressive discipline, although it will strive to use forms of discipline that most effectively and judiciously correct problems. The Human Resources Officer will enforce due process in all terminations and require that all terminations be supported by the disciplinary reports as outlined below. Generally, when progressive disciplinary action is used, it may take the form of:

- Oral Warning (may be put into a written form)
- Written Reprimand
- Decision Day Suspension
- Written Reprimand and Termination of Employment

Employees will be advised of a disciplinary action, in writing, including an oral warning.

The Decision Day Suspension will be a one (1) day suspension, with pay, for the employee to make a decision regarding his/her continued employment with the College. The employee will be required to document in writing his/her plans for improving the current situation so that his/her employment will be continued. This written plan of improvement must be acceptable to his/her supervisor. Failure to abide by the improvement plan will result in the final written reprimand and termination of employment.

The College has formed certain rules of conduct to ensure a well-run and pleasant working environment for its employees. Violation of any of these rules could result in some type of disciplinary action, ranging from oral and/or written warnings to reprimand and possible termination. It would be impossible to provide a complete list of potential violations, and the College will make no attempt to do so. However, all employees should know that at a minimum the College's policy is to address violations of the policies

specified in the handbook, and to otherwise address any conduct which threatens or interferes with the orderly conduct of the College's operations.

## **GRIEVANCE PROCEDURES**

In the workplace, it is not unusual for misunderstandings and problems between employees to arise from time to time. Every employee desires fairness and respect when settling problems involving a work situation. Dealing with these problems should take place as promptly as possible and in a manner that is fair and equitable.

This grievance procedure provides a formal system for an employee to seek the orderly resolution of a work situation that is causing dissatisfaction. This policy applies to Staff employees only.

When filing a grievance, the employee must state specific acts or circumstances supporting the allegation, and the outcome desired to result from the grievance process. Failure to first present a grievance within five (5) business days of the event prompting the grievance shall constitute termination of the grievance unless extenuating factors prevent timely filing of the grievance. The Human Resources Officer, whose decision shall be final, will make the determination regarding such factors.

It is the College's policy that individuals will not be reprimanded nor discriminated against for initiating an inquiry or grievance. It is also the College's policy to recognize and respect the rights of any individual against whom a grievance has been filed. In addition, it will be the policy of the College to investigate all grievances filed within a timely manner and to protect, as much as possible, the privacy of the individuals involved and the confidentiality of the proceedings. Decisions at each step of the grievance process should be communicated to the grievant within five (5) business days after hearing the grievance.

Normally, while a grievance is being pursued internally, the employee is expected to speak for him or herself. Neither the grievant, nor the person against whom the grievance is directed, may have an attorney attend any stage of the grievance process or otherwise participate on his or her behalf. The grievant, as well as the person against whom the grievance is directed, may choose to be accompanied by another College employee during any/all steps of this process.

Once a grievance is presented or an inquiry initiated, an effort will be made at each step, either to resolve the problem, or to refer it to the next step.

The procedures provided will serve as the grievance process for employees who have a complaint of discrimination or harassment based on, but not limited to, race, disability, age, sexual orientation, and other forms of discrimination. The grievance process also serves any employee with a work situation problem that they need to have addressed that may not be related to any form of discrimination.

**Grievable Issues** include, but are not limited to:

- a. Disciplinary actions, including written warnings placed in an employee's personnel file, where the employee questions the appropriateness of the stated cause;

- b. Alleged violation, misrepresentation or inequitable application of the College's policy affecting the employee including termination as a result of job performance issues where our progressive discipline steps were not followed;
- c. Alleged discrimination against the employee because of race, color, religion, sex, age, national or ethnic origin, sexual orientation, veteran status or disability; and,
- d. Performance evaluations.

**Non-Grievable Issues** include, but are not limited to:

- a. Wages and salary;
- b. Reassignment of job duties and responsibilities;
- c. Reorganization that does not result in reduction in salary;
- d. Termination of employment related to the expiration of letters of employment, reduction in force, or job performance issues;
- e. The content of personnel policies and procedures;
- f. Decisions by the College Sexual Harassment Grievance Committee.
- g. Decisions rendered under the Professional Boundaries Policy.

To ensure prompt handling when problems do occur, the following procedure has been developed. It should be noted that the Human Resources Officer is available at any time throughout the process to assist the employee.

### **Step 1. Supervisor**

The problem should be brought to the attention of the supervisor. In most cases, the supervisor can resolve the problem. If the employee believes it is desirable, he/she may contact the Human Resources Officer for assistance on a confidential basis. The problem will be investigated and the employee will be advised of the findings and the decision. If the employee is not satisfied with the decision reached, or if the issue cannot be resolved in the first step, the supervisor will arrange for the employee to take the problem to the next step.

If the employee's grievance is against his/her supervisor they should bring the grievance to the Human Resources Officer. Upon hearing the grievance, the Human Resources Officer will determine the appropriate route to resolve the grievance. If the grievance is one that the supervisor should be made aware of, the Human Resources Officer will advise the employee that he/she should discuss the grievance with his/her supervisor. The Human Resources Officer will be available to present the grievance to the supervisor on behalf of the employee if that is the employee's wish.

### **Step 2. Human Resources Officer**

The Human Resources Officer will make a conscientious effort to bring about an understanding and reach a solution that is fair, and acceptable to all concerned. If the problem is still unresolved the Human Resources Officer will

make arrangements for the employee to discuss the grievance with the appropriate member of the President's Cabinet.

### **Step 3. President's Cabinet Officer**

The President's Cabinet Officer, assisted by the Human Resources Officer if needed, will discuss the problem with the employee and any others who may be involved. A reasonable effort will be made to suggest a satisfactory solution. If the problem is still unresolved, the Cabinet Officer will make arrangements for the employee to take the problem to the next step.

### **Step 4. The Peer Review Program Appeal Process**

In an effort to create a work environment that promotes shared responsibility and employee involvement, we have implemented an employee peer review appeal process as step 4 in our grievance procedures. At this stage, the complainant has an opportunity to present his/her grievance to a panel of his/her peers.

#### **Peer Review Panel Selection**

The complainant randomly selects three (3) names from a box that contains the names of all trained and appointed College Staff Personnel assigned to this panel. These three people will comprise voting members of the panel along with the complainant, his/her direct supervisor, and the Human Resources Officer. The Human Resources Officer will make the final decision regarding the disqualification of a panel member whose name is drawn. Examples of grounds for disqualification include working in the same department as the complainant or other conflicts of interest. The Human Resources Officer will serve as the facilitator of the meeting.

#### **The Peer Review Hearing**

##### **Testimony and Investigation**

The panel interviews the employee filing the appeal, his/her supervisor, and any other employees with relevant information about the case. Both the employee and the supervisor have the right to provide pertinent documents at the hearing. Only one witness is present before the panel at any given time.

##### **Deliberation**

After all evidence has been reviewed, the three voting members of the panel votes by secret ballot to grant, modify, or deny the employee's request. The facilitator counts the votes until a majority (2) of like votes are found; then all votes are destroyed. Each panelist agrees in advance to sign the final decision form, regardless of his/her personal decision about the case. Panelists are reminded of their confidentiality commitment regarding all information. The Peer Review Panel's decision will be sent to the President of the College as its recommendation on solving the grievance.

##### **Notification**



Both parties involved in the grievance review will be notified of the panel's decision in writing within five (5) days of the conclusion of the hearing.

### Accountability

All matters associated with the Peer Review Process and hearings are confidential. The College will treat any violation of confidentiality as a serious offense and will maintain ZERO TOLERANCE for such violations. All persons participating must maintain confidentiality and the complainant, witnesses, and panelists are afforded complete privacy. All records and proceedings are considered confidential and will be maintained separate from personnel files available only on a "need to know" basis.

Once an appeal is made, all communication between the complainant, witnesses, supervisor/management and/or panelist must be made through the Human Resources Officer.

No one shall be harassed, intimidated, criticized or otherwise contacted about the hearing before, during or after the Peer Review Process. All attempts to influence witnesses or panelists are prohibited. Any violation of the accountabilities referenced above will result in disciplinary action up to and including termination of employment.

### **The Scope of Authority of the Peer Review Panel**

The Peer Review Panel will hear an appeal involving a work-related grievance filed by the complainant if the complainant has already presented the grievance to his/her supervisor, the Human Resources Officer and the President's Cabinet Officer without satisfactory resolution.

Upon completion of the appeals hearing, the Peer Review Panel will make a recommendation to the President of the College regarding the settlement of the grievance.

### **The Complainant**

An employee of Catawba College who has filed a grievance must follow the steps indicated. The complainant may not use a third party in these proceedings. If the complainant fails to appear for his/her scheduled hearing without notifying the facilitator, the appeal will be automatically denied.

### **The Peer Review Facilitator**

The Human Resources Officer will serve as the Peer Review Facilitator in most cases. The facilitator keeps the hearing focused on the issue before the panel. The facilitator does not give opinions on the matter and/or vote on the final decision. The facilitator will process paperwork, summon witnesses, handle meeting logistics, ensure panelists comply with appropriated policies, and perform related tasks so that panelists can concentrate on reaching a fast and fair decision. All communications between the facilitator and participants on the case will be confidential.

If the Human Resources Officer has direct involvement with the case, he/she cannot serve as facilitator. The Human Resources Officer will choose an alternate facilitator, choosing from the VP of Finance or the President of the College.

### **The Peer Review Panelist**

A Peer Review Panelist shall be a person randomly selected by the complainant to serve on the Peer Review Panel. All panelists will have been trained in due process, employment issues, investigation, decision-making, ethics, College policies and precedents, and confidentiality prior to the hearing. Panelists are paid, as if they were working on their regular job, for the time spent on the hearing. Panelists will be removed from the panel for violation of confidentiality, fraud, or other actions involving unethical behavior. Such violations of this code of ethics will subject a panelist to disciplinary action, including termination of employment.

### **Step 5. President of the College**

The President of the College will review the recommendation from the Peer Review Panel and then make the final decision regarding any action to be taken by the College.

Following these steps will avoid unnecessary delays. It shall be the goal at each step of the process to notify the involved employee of a decision within three (3) days of the hearing with the exception of the Peer Review Panel (which is five days). Normally, employees will be expected to use the grievance procedures outlined to resolve a problem. However, if the resolution of the problem would be hampered by following the grievance procedures, the Human Resources Officer will determine at what step the grievance should enter the process.

If the nature of the complaint prohibits or impedes the grievant from doing his/her job, the Human Resources Officer, along with the supervisor, will determine if the grievant should be allowed a reasonable time away from work until the grievance is settled. If the grievant is permitted to take a leave of absence from work, the leave will be with pay and eligible benefits.

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# FACULTY POLICIES AND PROCEDURE

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## THE ACADEMIC STRUCTURE OF CATAWBA COLLEGE

Programs of instruction of the College are structured under academic schools and departments, with deans for selected schools and department chairs to supervise each department. The *Catalog* presents the academic departments and the programs of instruction offered by the College. A Program Chair coordinates selected interdisciplinary programs.

The College operates under a structure of Schools of the College. These Schools, and the departments within each, are:

- **The Goodman School of Education**, encompassing the departments of Teacher Education and Sport & Health Sciences;
- **The Hurley School of Arts and Sciences**, encompassing the departments of English, Biology, Chemistry, History and Politics, Mathematics, Modern Foreign Languages, Psychology, Religion and Philosophy, and Sociology;
- **The Ketner School of Business**, encompassing the departments of Business and Communications;
- **The Shuford School of Performing Arts**, encompassing the departments of Music and Theatre Arts; and
- **The School of Evening and Graduate Studies.**

### Academic Deans

Academic Deans report to and serve at the pleasure of the Provost. They are expected to model professionalism and academic leadership within the institution and to serve as positive representatives of the College to the external community. Though they lead specific academic units, they should generally understand and support the mission of the College as a whole. They must exemplify genuine collegiality, patience, and courtesy in exercising their governance and management responsibilities. Specifically, Academic Deans have the following duties, along with other duties as assigned:

- *Course Planning and Scheduling.*
  - Based on draft schedules provided by department chairs, coordinate course scheduling within the School and submit schedules for the School in a timely fashion to the Registrar each semester.
  - In consultation with the Department Chair, Registrar and Provost, cancel or add courses as needed after pre-registration periods.
- *Curriculum/Program Design, Development and Assessment*

- *General Education.* Working with department chairs, provide the SACS liaison assessment data in accord with her/his request.
- *Majors.* In consultation with department chairs, design majors within the School and present curricular proposals to the Curriculum Committee.
- *Concentrations/Minors.* Where appropriate, lead in the development of departmental curricular concentrations and minors.
- *Personnel Planning and Faculty Development.*
  - *Faculty Recruitment.* Upon approval of positions by the Provost, lead in recruiting faculty for the School.
  - *Performance Assessment.* In consultation with department chairs, review the performance of School faculty using procedures adopted by the faculty for such reviews and report findings to the Provost.
  - *Faculty Development.* Encourage participation by School faculty in teaching improvement opportunities, scholarly activities, public service, and opportunities to learn more about critical issues in higher education. Support and mentor faculty in making promotion goals.
- *Budget Planning and Management.*
  - Participate with the Provost in planning budgets for the departments within the School. Monitor expenditures to ensure that departments keep within the limits of their budgets.
- *Student Recruitment and Development.*
  - When appropriate, assist in recruiting students to the College. Design opportunities to recruit students within the College to the major programs within the School. Work with the Registrar in assigning academic advisors within the School and ensure that students receive effective academic advising, including assistance in selecting appropriate classes and counseling regarding post-graduate opportunities.

## Department Chairs

The Department Chair is a full-time faculty member who serves as the chief administrative officer for departmental activities and the leader of and spokesperson for that department. The Chairperson is appointed by the Provost of the College, with input from respective deans, if applicable. The Department Chairs are assigned the following responsibilities, along with other duties as assigned:

- *Course Scheduling.*
  - Department Chairs will prepare and submit to the Dean of the School (or Provost, if applicable) teaching schedules for faculty assigned to the department and work to ensure that appropriate course offerings are available to students.
- *Course and Program Planning.*
  - Department Chairs will initiate actions to add, modify, or delete courses offered by the department and present these initiatives to the Dean (or Provost, if applicable) for approval before they are submitted to the Curriculum Committee.
- *Personnel Planning and Assessment.*
  - Department Chairs will review personnel needs annually and project personnel needs through a five-year personnel plan. Department Chairs will review Faculty Professional Activity Reports (FPARs), and other documents or processes to be utilized in the performance review of faculty, and the Chair will submit a formative evaluation document to the Dean on each faculty member in the department.
  - Department Chairs will submit an annual "progress status" report about each probationary faculty member within that department to that person. This report will accompany that person's annual evaluation (provided in May) and will orient around the Criteria for Retention.
  - Department Chairs recommend to the Dean (if appropriate) and the Provost whether a probationary faculty member should be retained and continued in employment at the end of each contract period.
- *Budgeting.*
  - Department Chairs will submit annual operating budget and capital equipment requests to the Dean and/or Provost as requested. Department Chairs will monitor department budgets to ensure compliance with budget limits.

### Appointment, Evaluation and Compensation of Chairs

The Provost appoints department chairs for a nine-month term of office, following consultation with department faculty and respective dean, and reappointment is possible. Department faculty will annually evaluate the effectiveness of a department chair (coordinated by the Provost's Office).

A department chair or Program Chair should not anticipate reassigned time nor contract extensions beyond the typical nine-month contract except in situations adjudged to entail (a) extraordinary oversight of physical facilities, (b) management of highly complex operations and/or (c) extensive summer work. Those who do not fall within these classifications will receive a standard stipend to be determined by the Provost and approved by the President, the amount of which is subject to annual review.

### **Program Chairs**

A program chair for interdisciplinary programs, such as the First Year Seminar and Honors programs, is a full-time faculty member who serves as the chief administrative officer for the program's activities and the leader of and spokesperson for that program. The Provost of the College appoints Program Chairs, who are assigned the following responsibilities,

- *Course Scheduling.*
  - Program chairs will work with deans and department chairs to develop teaching schedules for faculty.
- *Course and Program Planning.*
  - Program chairs will initiate actions to add, modify, or delete courses offered and present these initiatives to the Provost or his/her designee for approval before they are submitted to the Curriculum Committee.
- *Personnel Planning and Assessment.*
  - Program chairs will review personnel needs annually and project personnel needs, as well as assess the outcomes of the courses and faculty for the past year's courses.
- *Budgeting.*
  - Program chairs will submit annual operating budget requests and capital equipment to the Provost or his/her designee as requested, and will monitor program budgets to ensure compliance with budget limits.

### **Administrators Awarded Faculty Rank**

In addition to full- and part-time faculty (as defined in the *Standards of Appointment and Service*), the President of the College, in consultation with the Provost and the appropriate department chair and School Dean, may confer faculty status on administrative or staff appointments when the person meets the criteria for an academic rank as so defined. Normally the contract of administrators and staff members who hold faculty status reflects that status with the appropriate faculty rank designation. This faculty rank also will appear in the *Catalog*.

These persons may:

- assume teaching responsibilities when invited to do so by the appropriate department,
- participate fully in official faculty meetings,
- serve on all appointive faculty committees (but not the Grievance, Hearing, and Tenure and Promotion Committees), and
- be elected to serve on the Faculty Senate as an at-large representative.

### **Faculty Enrichment**

It shall be the duty of the Provost to establish programs intended to promote faculty development and professional growth, to encourage and aid in the work of faculty members to become outstanding teachers, and to maximize the potential of every faculty member to prosper in their professional standing by virtue of diligence, hard work, outstanding teaching, and participation in the academic community of Catawba College. The goal sought should be to help every faculty member understand and achieve that inspired level of outstanding teaching and research that will assure his/her continued employment as a faculty member of the College. Further information on faculty professional development opportunities are found in the section “Professional Development: Faculty Development, Enrichment and Renewal.”

### **Endowed Professorships**

Endowed positions allow the College to recognize outstanding members of the faculty, to attract excellent new faculty, and to enhance the funds available for faculty compensation. Constituents have supported the academic program of the College in the past by establishing specially funded or endowed professorships to recognize outstanding faculty.

For a list of these professorships and the procedures for the Creation and Administration of Endowed Professorships see [Links\EndowedProcedure.pdf](#).

### **Emeritus Status**

Upon retirement from Catawba College, tenured faculty members may be recommended by the Provost to the Board of Trustees for faculty *emeritus* status at the highest academic rank held during her or his tenure of service. Retirement shall entitle that faculty member to the benefits provided in his/her last contract of employment, or otherwise in accordance with such schedule of benefits the Board of Trustees may provide as from time to time for retirement of Catawba College full-time faculty.

Specific faculty *emeritus* benefits include (a) being listed as *emeritus* faculty in the *Catalog*; (b) having library privileges; (c) attending faculty meetings, without vote; (d) attending symposia, colloquia, fine arts events, and athletics events on the same basis as active faculty; (e) participating in Open Houses and similar recruiting events; (f) marching in formal convocations; (g) attending annual retirement dinners; (h) receiving campus newsletters; and (i) having free campus parking privileges.

Additional faculty *emeritus* benefits, subject to availability as determined by the Provost include (a) using research facilities, (b) having computer privileges, (c) attending computer workshops, (d) receiving office space, and (e) accessing assistance from staff.

### **Principles of Academic Partnership and Shared Governance**

The various levels of authority divided among the Board of Trustees, the chief administrative officers of the College, the Faculty, and indeed, the students of the College, should not be exercised so as to overlook the importance of partnership among those various actors, by whose democratic engagement and participation the mission of the College is to be achieved.

Shared governance among the Board of Trustees, the chief administrative officers, and the Faculty, as well as students, is the institution's shared ideal and worthy goal. All ideas should be encouraged, valued, and given fair expression, understanding that the warp and weave of their collective intelligence is stronger than any individual's part, and is essential to the academic integrity of the work of the College, both within and without the community.

Few matters of academic affairs pertain only to one constituency. Cooperation, transparency, communication, and the counsel of a variety of interested constituencies should be exercised as liberally as may be practicable in the consideration of such matters.

These various actors will have varying perspectives, expertise and interests. Arranging for consideration of as varied a representation of such interests as may be practicable is the responsibility of all those presiding over such activities, under the direction of the Board of Trustees, President, and Provost of the College.

The Faculty Senate is the body through which the Faculty of the College gives expression to and participates in the management of the academic affairs of the College. Other Faculty Committees as may be useful to the missions, programs, and strategic mission of the College may be appointed, continued, or discontinued either by the President, or with his permission, by the Provost or Faculty Senate. The Faculty Senate, including its committees, shall act in accordance with its by-laws approved by the Board of Trustees. The present by-laws, policies, and procedures are attached as an Appendix hereto, and are so identified.



The Faculty Senate may consider and recommend for adoption rules and recommendations, not inconsistent with those set out herein, pertaining to standards for appointment to various faculty positions, for faculty development and evaluation, and for such other matters as may come before it, all as may be approved by the Board of Trustees.

While authority for the general administration of the College is vested in the Board of Trustees, to be carried out by the chief administrative officers it appoints, the Faculty is responsible for governance of the approved academic programs of the College. Other Faculty committees may be appointed to make studies and to report to the Faculty or Faculty Senate, which may render decisions within the scope of its authority. On matters beyond the authority of the Faculty Senate, it may still make recommendations to the President and/or Board of Trustees.

### **Division of Responsibilities**

For the purposes of defining more clearly how governance is shared within the Faculty, it is appropriate to articulate which aspects of College affairs are the primary responsibilities of each category of administrative and academic officers. In general terms, these areas of responsibility are divided as follows:

Faculty have primary responsibility for aspects of the curriculum (including requirements for graduation, subject matter, methods and quality of instruction, and the evaluation of student work); research; faculty status; and those aspects of student life which relate to the educational process, all subject to the oversight and direction of the President or the Provost, and with the approval of the Board of Trustees.

Administrators may be assigned primary responsibility for issues that affect various individual schools, departments, or programs. These may include strategic planning, coordination of the needs and interests of the various components of the College, and overseeing the institution's financial resources and infrastructure. These responsibilities shall be exercised subject to and in accordance with directions and the approval of the Board of Trustees.

# **FACULTY GOVERNANCE**

## **Faculty Decision Making at Catawba College**

Faculty are responsible for maintaining the integrity of the curriculum offered by the College. The faculty must ensure that the curriculum is consistent with the mission and goals of the College. In addition, faculty determines the requirements for degrees offered by the College, not inconsistent with policies of the Board of Trustees.

All full-time faculty members have voting privileges at general faculty meetings.

There are three types of action for issues brought before the faculty: faculty vote, faculty recommendation, and faculty information.

Issues requiring faculty vote include but are not limited to:

- a) Curriculum matters including those brought from the Curriculum Committee
- b) Academic policy including those brought from the Academic Policy and Standards Committee

Issues in which faculty may make recommendations to, and expect to be informed of action by, the Administration include but are not limited to:

- a) Expanding/dropping academic programs such as departments
- b) Policies of admission and financial aid
- c) Development efforts
- d) Senior administrative appointments
- e) Student life policies
- f) Physical plant plans
- g) Institutional budgets

### **Faculty Committee Membership Appointment**

All full-time, tenured and tenure-track faculty and librarians will serve on one standing committee or render alternate service to the College as approved by the Provost in consultation with the Faculty Senate Executive Committee each academic year as part of their contractual obligation to the College. Other full-time faculty (for example, visiting, non-tenure track, or evening faculty) may choose to serve on a committee. A rotation cycle is used for committee service as determined by the Faculty. A six-year rotation cycle of five years serving on committees, followed by one year off committees, is being followed based on seniority. When the call for standing committee assignment preferences is distributed, faculty eligible for rotating off will be notified by the Faculty Senate Chair. Faculty members are given the option of not rotating off of committee service. This will

be indicated by filling out and returning the preference form. If no form is returned, then it will be assumed that the faculty member is off of committee service the following academic year. A policy of “use it, or lose it” will be followed. Junior non-tenured faculty, however, are required to rotate off when it is their turn.

Individual faculty members will indicate their committee preferences to the Faculty Senate Executive Committee in late spring. The Senate Chair and faculty elected to the Faculty Tenure and Promotion Committee are exempt from service on standing committees. Faculty members with excessive College professional obligations may appeal to the Faculty Senate Executive Committee and the Provost in late spring for a committee deferment for the next year. Faculty should talk with the Faculty Senate Chair for information about this appeal.

Full-time faculty whose primary teaching load is in the evening program can petition the Faculty Senate to serve on one standing committee if they so choose. Serving on a standing committee is completely optional for these faculty and not serving should not be counted against them.

**Note:** Service on *ad hoc* committees and/or administrative councils is considered extraordinary, and memberships are determined independent of this protocol. The Standing Committees report recommendations directly to the full faculty except in personnel matters relating to hiring, promotion, and tenure in which case the Committee reports directly to the Provost.

### **Committee Chairs**

The Provost upon recommendation of the Faculty Senate Executive Committee appoints chairs. Faculty committees are chaired by a full-time faculty member, who shall vote only in the case of a tie. It is recommended that the committee chair will have served at least one year on that committee prior to becoming chair. Chairs typically serve no more than three consecutive terms. See the Faculty Senate Chair with questions.

### **Committee Meetings**

Except in extraordinary circumstances, committee members should be notified of meetings and provided expected Agenda AT LEAST **THREE DAYS IN ADVANCE**. The committee Chair has the responsibility to announce the committee meeting as an e-mail or on the campus calendar and should make every attempt to avoid scheduling conflicts.

### **Committee Policies and Procedures**

Committees are governed by specific policies and procedures. The Senate may assign other specific issues to these committees for their review and recommendations.

## Committee Reports

Annual committee reports, with the exception of Admissions, will be presented during the final faculty meeting of the academic year. The Admissions Committee will make its final annual report at the first faculty meeting of the following academic year. Short-term, *ad hoc* committees will report at the first faculty meeting after the task for which that committee was established is completed.

### Governance Committees: Appointed Membership

#### Academic Policies and Standards Committee

On behalf of the faculty, this Committee initially reviews proposed additions, deletions, or revisions of basic educational policies and makes recommendations to the full faculty regarding such proposals. These areas of educational policy include, but are not limited to:

- A. academic suspension/probation standards;
- B. graduation/degree requirements; and
- C. research involving human subjects (the IRB).

Once faculty have approved such policies, appropriate administrative staff will administer the policies, and the Academic Policies and Standards Committee will serve as an appeals committee, approving or rejecting any requests for waivers of these policies by students, faculty, or administrative staff.

#### The IRB: Review of Research Activities Involving Human Subjects

The faculty approved the establishment of an Institutional Review Board (IRB), operating under the aegis of the Academic Policies and Standards Committee, with the purpose of regulating the use of human subjects in research activities in order to ensure that (1) persons supervising these activities are made aware of, and in compliance with, professional standards concerning the treatment of human subjects, and (2) those who serve as subjects are being treated fairly, ethically and responsibly. The presence of this IRB does not imply that questionable research activities occur or even are expected; rather, IRB procedures acknowledge that our ethical commitment to human participants indeed is exercised.

A **research activity** refers to any undertaking that involves the collection of data (by active or passive means) from human participants. A research activity that is within the scope of IRB approval mechanisms specifically includes:

1. Research activities conducted by a faculty member, undergraduate student or graduate student using students, other faculty, special

populations, and/or members of the College and non-College community.

2. Research activities conducted by students and/or faculty that contribute to a student's grade, e.g., class projects, surveys, experiments, questionnaires, and interviews of sources that will be named or described.
3. Surveys and questionnaires (including self-disclosure instruments, e.g., opinion surveys about current events, personality tests, questionnaires about social, personal behavior) used by faculty for purposes of classroom demonstrations that involve students in the class as subjects.

A research activity that is outside the scope of the IRB includes:

1. Research with animal subjects;
2. Student evaluations of courses;
3. Typical educational practices to the extent that individual subjects are not identifiable or their participation is voluntary, certain educational practices need not be reviewed, e.g.,
  - research activities comparing different course pedagogies or structures,
  - unobtrusive classroom observations made by students,
  - research/data gathering in the context of off-campus placements (provided those organizations are subject to their specific policy guidelines), and
  - interviews by the press, providing the respondent has an option to decline.
4. Research conducted by administrative units or student groups that does not impose a participation requirement, e.g., freshman CIRPs, instruments used for course placements.

The full set of guidelines and IRB procedures appears on the Catawba Website: [HUMAN RESOURCES\CAMPUS POLICIES AND PROCEDURES\ACADEMIC POLICIES\IRB Policies and Procedures.](#)

### Admissions Committee

The areas of responsibility for this Committee include, but are not limited to:

- A. the review of marginal candidates for admission; and
- B. making strategy recommendations to the Office of Admissions.

### Academic Planning and Assessment Committee

This Committee (1) recommends planning and assessment procedures to the faculty particularly with respect to SACSCOC accreditation and (2) works with the Provost and the Deans and Department Chairs to implement such procedures. The Committee has specific responsibility to facilitate the assessment of the effectiveness of academic programs; and the general responsibility to oversee the development of long-range plans for academic programs and academic support services.

### Curriculum Committee

Faculty are responsible for maintaining the integrity of the curriculum offered by the College; the faculty must ensure that the curriculum is consistent with the mission and goals of the College. In addition, faculty determine the requirements for degrees offered by the College. This Committee is instrumental in enabling the faculty to perform these governance functions. Toward that end, Committee responsibilities include, but are not limited to:

- A. reviews proposals for new undergraduate courses and the revision or deletion of undergraduate courses and makes recommendations to the faculty on these matters; and
- B. reviews proposals for courses to fulfill Foundations & Skills and Perspectives requirements.

### General Education Assessment and Review Committee

The General Education Assessment and Review Committee (GEAR) assesses the effectiveness of the General Education Program. In particular, this committee

- A. recommends learning outcomes assessment procedures in regards to General Education offerings;
- B. reviews Outcome Assessment Reports (OARs);
- C. provides suggestions to faculty for improving their assessment of student learning with respect to General Education; and
- D. considers the revision or deletion of General Education requirements as well as learning outcomes for General Education courses and makes recommendations to the faculty on these matters.

## Instructional Support Committee

The Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) requires that the College enhance its technological and library support services to improve instruction, develop basic competencies, and keep the information systems stable and current. Instructional issues are primarily the responsibility of the faculty and greatly impact faculty instructional effectiveness, so the faculty must play a shared role in determining and administering these support services. This role includes issues related to academic computing and library support insofar as they impact classroom instruction.

To fulfill these responsibilities, the Instructional Support Committee will address the general instructional needs of faculty, staff and students. Toward this end, the Committee will:

- A. help assess instructional technology needs;
- B. help infuse instructional technology into the curricula;
- C. participate in decision-making regarding the allocation of computing resources;
- D. work with the library staff to enhance instructional support, holdings and related services;
- E. work with faculty to promote appropriate instructional methods; and,
- F. promote related faculty development programs.

## Standing Committees: Elected Membership

Membership on elected committees is determined by faculty vote. The order of the faculty vote for the three elected committees will be (1) Tenure & Promotion, (2) Hearing, and (3) Grievance. The Senate Chair will preside over the elections at the last regularly scheduled faculty meeting of the academic year. Faculty can only serve on one of these three elected committees at a time.

## The Faculty Tenure & Promotion Committee

The Faculty Tenure & Promotion Committee (FTPC) shall consist of five (5) members who are tenured full professors, each elected for a five-year term. The terms will be staggered with one member's term on the Committee expiring each year. The duties of the FTPC, whose operations are determined by the faculty, are outlined below.

A. The FTPC oversees the process for

- promotion recommendations, and
- evaluation of faculty for tenure.

B. The FTPC reviews materials submitted by faculty members to make recommendations to the Provost about

- progress toward tenure,
- tenure decisions,
- progress toward promotion-in-rank, and
- promotion-in-rank.

## Faculty Grievance Committee

The Faculty Grievance Committee is charged with the following:

- considers petitions of grievances by faculty members, including cases where a faculty member alleges violations of academic freedom and/or civil rights;
- determines the validity of the allegation; and,
- recommends whether the case should be forwarded to the Faculty Hearing Committee.

Cases regarding dismissal and the appeal of a severe sanction are directly considered by the Faculty Hearing Committee. DEFINE DISMISSAL.

The Faculty Grievance Committee shall consist of five (5) members, each elected for a five-year term. The terms will be staggered with one member's term on the Committee expiring each year. The Committee will elect a chairperson for each case from current members in the event of a grievance.



## *Procedures of the Faculty Grievance Committee*

A faculty member who has a grievance should first go through a series of informal meetings to try to resolve the grievance. The first step for a faculty member is to talk with his/her department chair about the grievance. If the issue still exists after that informal meeting, the faculty member should schedule a meeting with the Academic Dean of the appropriate school, if available. If that informal meeting proves unsatisfactory for the faculty member or is unavailable, then the next stage is to schedule a meeting with the Provost. After exhausting all these possible administrative remedies, a grievant may request that the Faculty Grievance Committee consider his/her complaint. Note: If the grievance is against any of the above administrators, then the faculty member should omit the step that involves that administrator and move directly to the next. If the grievance is against the Provost, then the faculty member should discuss the issue with the President.

The request for hearing provided to the Provost must include a written statement of her/his grievance and the relief requested by the grievant.

The Provost will then forward the request to Chair of the Committee, who will call a meeting of the Committee within ten (10) working days of the request. Furthermore, the chair will request a written statement from the respondent in the matter. The Committee will review the material presented by both parties. The grievant may elect to present his/her case orally. The respondent will also have the right to appear before the Committee. No witnesses will be involved in the process although their written statements may be submitted.

The Committee, after a reasonable period of deliberation, will draft an opinion or proposal for resolution and share it with both parties. The Case Chair will then meet individually with the grievant and the respondent to discuss its recommendations. If the proposal for resolution is not agreeable, either party may appeal for a formal hearing before the Faculty Hearing Committee.

### The Faculty Hearing Committee

The Faculty Hearing Committee is mandated to review:

- all dismissal cases;
- all cases where a faculty member appeals the imposition of a severe sanction that does not involve dismissal; and,
- such grievances as may be referred to it by the Faculty Grievance Committee.

The Committee shall consist of five (5) members, each elected for a five-year term. The terms will be staggered with one expiring each year. The Committee will elect a chair for each case from its current members.

The following outline presents several types of cases that may be provided a formal hearing:

1. Termination for "adequate cause" for tenured appointment or the dismissal for "adequate cause" of a teacher before the expiration of the term of appointment.
  - a. When the termination is based on financial exigency or discontinuation of a program or department of instruction, the committee will make an official statement or specific recommendations to the Board of Trustees through the president before a decision is made by the Board.
  - b. When the termination is for medical reasons, and upon request of the faculty member, the Faculty Hearing Committee will review the evidence of the case and make an official statement of specific recommendations to the Board of Trustees through the President before a final decision is made by the Board.
  - c. When termination is for "adequate cause" other than those for financial exigency/discontinuation of a program or department or for medical reasons: following discussions by the faculty member and appropriate administrative officers, the Faculty Hearing Committee, upon request of the faculty member, will hold a formal hearing.
2. Severe sanction of a faculty member: when conduct of the faculty member is considered by the administration to be sufficiently grave as to justify severe sanctions, but not to constitute "adequate cause" for dismissal, the faculty member may request a formal hearing that will be conducted by the Faculty Hearing Committee.
3. Non-reappointment of a faculty member during probationary period or other non-tenured appointment when the basis for grievance is for either (a) violation of academic freedom or (b) prejudice with respect to race, color, religion, sex, age, national origin, disability, sexual orientation, gender identity, or veteran status; in these two cases, the Faculty Hearing Committee will hold a formal hearing, except that:
  - a. the burden of proof rests with the faculty member, not the administration, and
  - b. a statement of the reasons for non-renewal is not required from the administration.
4. An unresolved grievance in any matter not covered in 1, 2, or 3 above: when the Faculty Grievance Committee determines that a settlement of a grievance is not possible or appropriate, and reports this determination to the Faculty Hearing Committee as the "appropriate faculty body", the Faculty Hearing Committee will determine whether a formal hearing is appropriate, and if so, proceed to hold such a hearing to resolve the grievance.

## *Procedures of the Faculty Hearing Committee*

The Faculty Hearing Committee will proceed to a formal hearing for any case brought before it.

### **Formal Hearing Procedures**

1. Dismissal of a faculty member with continuous tenure, or with a special or probationary appointment before the end of the specified term, will be preceded by the following:
  - a. discussions between the faculty member and appropriate administrative officers looking toward a mutual settlement; or,
  - b. informal inquiry by the Faculty Hearing Committee, which may, if it fails to effect an adjustment, determine whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding upon the President.
2. A written statement of charges, framed with reasonable particularity by the President or the President's delegate, will precede a dismissal. The individual faculty member concerned will have the right to be heard initially by the Faculty Hearing Committee. Members deeming themselves disqualified for bias or interest will remove themselves from the case, either at the request of a party or on their own initiative.
3. Pending a final decision by the Faculty Hearing Committee, the faculty member will be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to the faculty member or others is threatened by continuance. Before suspending a faculty member, pending an ultimate determination of the faculty member's status through the hearing procedures, the administration will consult with the Faculty Hearing Committee concerning the propriety, the length, and the other conditions of the suspension. A suspension that is intended to be final is a dismissal and will be treated as such. Salary will continue during the period of the suspension.
4. The Faculty Hearing Committee may, with the consent of the parties concerned, hold joint prehearing meetings with the parties in order to (i) simplify the issues, (ii) effect stipulations of facts, (iii) provide for the exchange of documentary or other information, and (iv) achieve such other appropriate prehearing objectives as will make the hearing fair, effective, and expeditious.
5. Service of notice of hearing with specific charges in writing will be made at least twenty days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges or asserts that the charges do not support a finding of adequate cause, the Faculty Hearing Committee will evaluate all available evidence and rest its recommendation upon the evidence in the record.
6. The committee, in consultation with the President and the faculty member, will exercise its judgment as to whether the hearing should be public or private.
7. During the proceedings the faculty member will be permitted to have an academic adviser and counsel of the faculty member's choice.
8. At the request of either party or the Faculty Hearing Committee, a representative of a responsible educational association will be permitted to attend the proceedings as an observer.

9. A verbatim record of the hearing or hearings will be taken, and a copy will be made available to the faculty member without cost, at the faculty member's request.
10. The Faculty Hearing Committee will grant adjournments to enable either party to investigate evidence as to which a valid claim of surprise is made.
11. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the Faculty Hearing Committee in securing witnesses and in making available documentary and other evidence.
12. The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the committee determines that the interests of justice require admission of their statements, the committee will identify the witnesses, disclose their statements, and, if possible, provide for interrogatories.
13. In the hearing of charges of incompetence, the testimony will include that of qualified faculty members from this or other institutions of higher education.
14. The Faculty Hearing Committee will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.
15. The findings of fact and the decision will be based solely on the hearing record.
16. The Faculty Hearing Committee's recommendation(s) shall be delivered within forty-eight hours of its completed hearing.
17. Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration by the governing board of the institution.
18. The President and the faculty member will be notified of the decision in writing within 48 hours of the conclusion of the hearing. The President and the faculty member will be given a copy of the record of the hearing.
19. If the Faculty Hearing Committee concludes that the evidence in the record has established adequate cause for dismissal, it will so report to the President and to the faculty member. If the Faculty Hearing Committee concludes that adequate cause for a dismissal has been established, but that a penalty less than dismissal/termination would be more appropriate, it will so recommend, with supporting reasons. If the Faculty Hearing Committee concludes that the evidence in the record has not established adequate cause for dismissal, it will so report to the President and to the faculty member. If the President rejects the report, the President will state the reasons for doing so, in writing, to the Faculty Hearing Committee and to the faculty member and provide an opportunity for response before transmitting the case to the Board of Trustees.
20. The faculty member may submit a written request within fifteen business days of the President's decision for the Board of Trustees to hear a final appeal. In the absence of an appeal by the faculty member from the Faculty Hearing Committee to the board of Trustees, or absent a timely recommendation from the Faculty Hearing Committee, the President shall promptly make a final decision in the matter, which decision will be

final. The President will transmit the record of the case to the Board of Trustees for review; a committee of the Board may be assigned by the Board to perform this duty. The Board, or its designated committee, will review the record and provide an opportunity for presentation, oral or written or both, by the principals involved at the hearing or by their representatives. The decision of the Faculty Hearing Committee will either be sustained, or the proceedings returned to the Faculty Hearing Committee with specific objections. The Faculty Hearing Committee will then reconsider, taking into account the stated objections and receive new evidence if necessary. The Faculty Hearing Committee will then present their reconsideration to the Board of Trustees or the designated committee of the Board, who will then make a final decision only after study of the committee's reconsideration.

**ADDITIONAL FACULTY OBLIGATIONS AND DUTIES,**  
**PROFESSIONAL DEVELOPMENT, ENTITLEMENTS AND**  
**BENEFITS**

**FACULTY OBLIGATIONS: ACADEMIC PRACTICES**

**Academic Advising**

Freshman Advising

Faculty members may be appointed to serve in the First-Year Seminar Program, which includes freshman advising. The scope of these activities is discussed at the time of the appointment, but the "advising" component typically involves meeting with advisees for purposes of explaining registration procedures and College requirements, approving course schedules, and maintaining an accurate academic record for each advisee.

Major Advising

All departments assume full responsibility for academic advising of students with majors in that department. The department Chair carries the responsibility for the accuracy of the advising record for all majors within that department, even though the Chair assigns advisees to specifically-designated faculty members. Typically, the major advisor has a responsibility to:

- Counsel each student concerning course selection.
- Approve each student's course schedule and any changes in that schedule.
- Maintain an accurate academic record for each advisee.
- Confirm that the advisee fulfills College and major requirements for graduation.

Class Advisors

An advisor is appointed for every freshman class who will remain as advisor to that class over the four-year matriculation period. The responsibilities of the class advisor are outlined by Student Development personnel at the time of the appointment.

**Academic Year**

The academic year is considered to be a 9-month period beginning about one week prior to the fall conference in August and ending about one week after the commencement exercises in May.

## Summer School

Summer school service is not included within the academic year, and is arranged separate from the 9-month contract. As such, the construction of the class schedules for the summer terms and appointments of faculty to teach those courses are based on and follow considerations not presented during the academic year, e.g., minimum class sizes, schedule of remuneration. The current statement of Summer School Policies and Practices are given on the College website; from the site index: [HUMAN RESOURCES\CAMPUS POLICIES AND PROCEDURES\ACADEMIC POLICIES\Summer School: Policies and Practices.](#)

## Winter Term

Winter Term is not included within the academic year, and is arranged separate from the 9-month contract. As such, the construction of the class schedules for the summer terms and appointments of faculty to teach those courses are based on and follow considerations not presented during the academic year, e.g., minimum class sizes, schedule of remuneration. Typically, on-line courses are offered during the abbreviated term, which lasts from the Monday following the fall final exam week until after the New Year; specific dates are developed and announced in the academic calendar for the year.

### **Distance Learning Policy**

#### Faculty Responsibilities

1. Faculty wishing to teach distance learning courses must complete a training course on teaching through distance learning courses. After initial distance learning training, recertification may be required as current technology in the existing course management system changes or is enhanced.
2. All distance learning courses (including existing courses) must be approved by the Curriculum Committee to determine the appropriateness of the course for a distance learning format. Proposals for distance learning course offerings will follow the same procedures as proposals for other courses. The Curriculum Committee will pay particular attention to the principles that the proposed distance learning course:
  - a) must require approximately the same number of instructional hours as are normally required in a traditional course carrying the same number of credit hours as the distance learning course, and
  - b) must provide for **appropriate interaction** between students and instructor -- *such interactivity should be at the heart of the course.*
3. Every instructor should indicate in his or her syllabus the following:
  1. the technical requirements of the course,
  2. and student responsibilities. Students should be required to accept a "distance learning contract" in which they acknowledge receipt and understanding of all course requirements and processes.

4. It is the instructor's responsibility to:
  - a) develop a coherent plan addressing the security of distance learning testing. Some means of doing this might include off-campus proctored examinations, or on-line exams which are timed and conducted only during a specified time period.
  - b) The course syllabus must also specify a coherent plan addressing alternative means of testing should the College internet connection fail, or if a student's access to the internet is interrupted.
5. The syllabus must set firm deadlines for the submission of work and these deadlines must be strictly observed. Students must understand that they are responsible for ascertaining that the instructor has received their work in a timely fashion. Furthermore, the syllabus must clearly indicate the minimum technological requirements necessary for the student to participate in the distance learning course.
6. Students must be *regularly accountable*, i.e., course syllabi must demonstrate the means through which students regularly communicate their learning of the course material to their instructors.

#### College Responsibilities

- 1) All distance learning courses will be designated as such by means of standard indicators, i.e., in the "descriptions/restrictions" information always provided in all course schedules.
- 2) The College will offer distance learning training courses at intervals sufficient to support the faculty need.
- 3) Regarding faculty teaching load:
  - a) No faculty will be required to teach a distance learning course unless it is part of their contractual agreement with the College.
  - b) Minimum enrollment limits in distance learning courses will be the same as for the corresponding course when taught in a classroom venue.
  - c) maximum enrollment limits will be set by individual faculty members in conjunction with each academic department.
  - d) Distance learning courses will count the same as classroom courses for faculty teaching load.

#### **Catawba College Honor Code**

All faculty are bound by the Catawba College Honor Code as are all other constituents of the College community.

#### **THE HONOR CODE**



*"As a member of the Catawba College community, I will practice academic honesty, communicate truthfully, and show respect for the rights and property of others. I will also encourage others in the community to behave honorably."*

The Honor Code does not condone dishonorable actions within any sector of Catawba College. Such actions include academic dishonesty as well as social disrespect and any action harmful to the Catawba College community and its members. Violations of the law are also violations of the Honor Code. The Honor Code applies to students, faculty, administrators and staff members.

The varied aspects associated with the Honor Code including descriptions of academic dishonesty (cheating, plagiarism, lying about academic work) and adjudication procedures appear in full on the College website; from the site index: [HUMAN RESOURCES\CAMPUS POLICIES AND PROCEDURES\ACADEMIC POLICIES\Honor Code.](#)

### **Academic Policies**

Each faculty member is reminded that the *Catalog* serves as the Academic Handbook of the College and outlines routine policies and practices not described in the *Employee Handbook*. Each faculty member is responsible for being familiar with these policies and practices.

Faculty are not at liberty to grant exceptions to these policies and practices, and the College is not bound to honor such agreements.

#### Classroom Assignments

The Registrar assigns classrooms and any change **FIRST** must be cleared through this office. This is true for final examination meeting places as well as for regular classes. The scheduling of classrooms for extracurricular events should be arranged through the office of the Dean of Students. The sponsor of the meeting is responsible for putting the classroom in order upon completion of the meeting.

#### Attendance Guidelines

From the *Catalog*:

Effective learning is facilitated by an interaction between the professor and students regarding course material.

The classroom is the principal arena for such interaction. Thus students have an obligation to themselves, to fellow students, and to the faculty member to attend and

participate actively in classroom sessions. The class attendance policy followed by the College assigns to each faculty member the responsibility for establishing and communicating to students the specific attendance requirements for his or her courses consistent with the objectives of the course. Thus specific course attendance policies will vary from course to course. The attendance policy for each course will be presented to the student in written form, usually as part of the course syllabus, at the beginning of the course and before the end of the drop-add period. The course attendance policy and practices, however, will subscribe to the following general guidelines:

1. Each student is personally responsible for regular and punctual class attendance.
2. A student who misses a class bears personal responsibility for completing any assignment presented during that class to the extent permitted by the nature of the assignment and/or the course syllabus.
3. The faculty member has the option of assigning a failing grade to any student who misses more than one-quarter of the class meetings, but this option must be stated in the course syllabus.
4. Whenever possible, the student should inform the faculty member about an absence and make arrangements concerning missed assignments due to that absence.
5. The student is responsible for initiating discussions with the faculty member about a make-up opportunity for missed assignments or examinations.
6. The faculty member has no obligation to allow or facilitate make-up work except for absences due to “extenuating circumstances.” The College recognizes three sets of extenuating circumstances: severe personal illness, death in the immediate family, or (when announced in advance through the Dean of Students’ Office) authorized representation of the College.
7. If an extenuating circumstance is the cause of a student’s missing a class period (or an examination), the student should not view the absence as an exception to the course attendance arrangements, as outlined in the course syllabus, but as a “just cause” for arranging a make-up opportunity. The faculty member, however, will determine the means of compensating for the missed course work or examination.
8. Students should remain in a class for at least ten minutes after the class is scheduled to begin, after which, if the faculty member has not arrived or given word about arriving late, the students may leave without penalty.

## Syllabi

Syllabi for all courses taught will be made by the instructor, distributed (by paper or e-mail) on the first day of class, and a copy provided for the files of the Provost. A course syllabus at a minimum should include the following information:

- instructor's name;
- instructor's office hours;
- title of the course;
- day and times the course is taught;
- attendance policy (which must be consistent with the guidelines published in the *Catalog* and those given in the section above);
- the required text(s) for the course;
- a rationale for the course, explaining briefly how it meets the learning outcomes of general education or how it relates to the major;
- a clear statement of student learning objectives for the course, specifying precisely what skills a student is to acquire and/or what knowledge is to be mastered;
- a clear statement of how these learning outcomes will be assessed;
- a general statement of the processes to be used in teaching the course, i.e., lecture and laboratory requirements, term papers, projects, field projects, or other special requirements;
- a general calendar of assignments, which may include a calendar of major tests;
- information on test schedules, including make-up exam policies;
- grading policies, including the scale by which the letter grades will be assigned and how each assessment component contributes to that letter grade; and,
- **instructor's policy on the presence and use of electronic devices during exams, and the consequences for their presence or use.**

A syllabus serves as an "academic" contract between the instructor and a student, so substantive additions or changes in the syllabus (e.g., additional assignments and/or requirements, modification of the grading policy) is **not allowed** after the last day for adding a class has passed.

Each instructor should forward, in accordance with department procedure, a syllabus for each course to the Office of the Provost at the beginning of each semester.

## Final Exams

Under the present academic calendar, a 15-week term permits the minimum number of student contact hours required by the Southern Association of Colleges and Schools Commission on Colleges. However, this accrediting organization allows the final exam period to be credited toward the student contact-hours requirement, i.e., a 14-week teaching period plus the time allocated for the final exam. Thus, all faculty must meet with their classes during the assigned final exam time. The decision about distributing an examination at this time, however, rests with the faculty member.

A final examinations schedule is constructed and distributed by the Registrar. Any deviation from established times first must be approved by the faculty member's department Chair and the Registrar. The last day of the exam period is TBA and is reserved for students who must reschedule a third exam and/or present an unusual circumstance.

**Study Day.** Faculty approved a policy precluding any exams on Study Day. Non-exam activities (e.g., music juries, program evaluation interviews) may be arranged if that activity is cleared by the department Chair and the Registrar in time to appear on the final exam schedule, i.e., July 15 (for the Fall schedule) and October 15 (for the Spring schedule).

### Office Hours

All faculty must be available for student consultation by the scheduling of, and being present during, regular office hours. As a guideline, a full time faculty member should schedule **one hour-per-week for each contact hour of course and laboratory assignment**. For example a person teaching 12 sh per week should arrange for 12 hours of availability during each week. The number of office hours scheduled by part time faculty may vary from this formula and should be set in consultation with their department chair. Office hours should be scheduled at times convenient to students (i.e., between 8:00 AM and 4:30 PM weekdays) and not during times reserved for College activities, e.g., committee meetings, assemblies. Hours may be a combination of face-to-face, "by appointment," or virtual office hours, with **at least** 8 hours scheduled on-campus. These hours should be posted on the faculty member's office door at the beginning of each term.

### Retention of Course Materials

All graded materials not returned to students (e.g., exams, final exams, term papers and other assignments) must be retained until the end of the regular semester following the semester in which the graded work was completed. These materials should be kept in the event that an academic grievance is filed.

### Teaching Assignments

Department chairs forward tentative teaching assignments to the Registrar following consultations with departmental members. Faculty members typically accept responsibilities for the same courses regularly, but the basis for such assignments is that person's professional expertise rather than proprietary. The Provost has final responsibility for final assignments because of her/his knowledge of student enrollment patterns and needs as well as administrative needs.

## Class Schedule

Classes typically are scheduled for 50 minutes, on-the-hour on Monday, Wednesday and Friday and for 75 minutes (on Tuesday and Thursday). Faculty must be considerate of their students and other faculty and not "run over" the allotted class period. Classes normally are not scheduled during the 11:00 hour (TTh) in order to accommodate scheduling of committee meetings or College community activities during these times.

## Book Orders

Faculty should comply with the deadlines and requirements for textbook orders established by the business office responsible for ordering and stocking textbooks.

## Faculty Absences

A faculty member is expected to meet all scheduled classes unless an extraordinary circumstance forces him/her to be absent, in which case the Department Chair should be notified as much in advance as practical. An absence by a faculty member of more than one day from regularly-scheduled classes, examinations, office hours, or other College responsibilities (e.g., faculty meetings) should be reported to department chair and the Provost prior to the anticipated absence (or as soon as possible when an absence is unexpected). Those classes and appointments affected by an absence also should be notified. Each faculty member is responsible for judging whether the reason for an absence is extraordinary.

## Teaching Responsibilities

A normal teaching responsibility consists of 24 semester hours per academic year. The instructor has the option of accepting non-traditional teaching assignments (independent study, practicum, tutorial) in addition to this normal responsibility, but such assignments typically do not involve additional remuneration.

A faculty assignment should be made in recognition of the need to sustain a healthy and productive work force, one that is challenged but not overburdened. Assignments should be equitable and should be perceived as equitable in order to create a work environment in which faculty find their work personally and intellectually rewarding. The faculty affirmed the 12 semester hour teaching responsibility per term as the norm and recommended the following procedures for allocating faculty workloads:

1. Because teaching modes and service demands vary from academic unit-to-unit and individual-to-individual, the Provost and individual department chair should discuss any deviation from the standard 12-hr responsibility, either overloads or course reassignment.
2. Such negotiations should take into account the unique demands of non-lecture modes of teaching<sup>[1]</sup>, e.g., studio teaching (art, music, dance), private lessons (instrumental and vocal music), laboratories, computer-assisted and/or multi-media instruction, supervising student teaching or other off-campus learning experiences (excluding practica, and internships, which are guided by separate policies), team teaching, activities courses (i.e., physical education), and directing and critiquing performances.
3. Such negotiations may involve the application of formulae agreed to by the Provost and the faculty member to account for the unique demands of teaching non-lecture or non-traditional types of courses.
4. Such negotiations should take into account other reasonable factors, e.g., overall contact hours, sizes of specific classes, unique preparations required for some laboratories and classes, grading load characteristics of writing-intensive courses.
5. Such negotiations should take into account the demands made on some faculty for administrative or other services to the College, e.g., accompanying and directing ensembles, chairing multiple committees or sub-committees, chairing major academic programs or units.
6. Faculty whose responsibilities are subject to such negotiations by virtue of unusual circumstances or demands should be kept fully informed by the chair of the status of such negotiations and the expectations.

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1. The specific examples of "non-lecture modes of teaching" are listed to provide a context for considering demands on an individual's time beyond classroom teaching and does not imply a change in practice concerning whether any of these sets of demands must be incorporated into the determination of workload.

**Overloads.** The normal teaching assignment will require a faculty member's full-time attention and major time-consuming academic activities should be avoided during the academic year. However, circumstances do arise that necessitate additional appointive assignments. In these events, the department chair, after consultation with the faculty member, can recommend to the Provost either a compensatory reduction in the normal teaching assignment (e.g., from 24 to 21 semester hours per academic year) or additional remuneration in lieu of a reduction in course assignment.

To ensure that effective teaching, student advising and service to the College are not diminished by long-term overloads, the Faculty approved the following guidelines regarding overloads:

- When overloads are necessary (see above) they should be filled by faculty members on a voluntary basis;
- No faculty member should be required to teach more than 24 semester hours per academic year;
- Faculty choosing to teach an overload should be limited to 9 hours of overload per academic year;
- Faculty members should not be asked to teach overloads during their first year;
- Summer school teaching responsibility should be considered separately from that of the academic year.

**Evening Classes.** Courses taught in the evening by a faculty member may reflect a comparable adjustment as recommended by the Department Chair: either fulfilling the normal teaching assignment, or an overload and subject to additional remuneration.

#### Extra-Institutional Employment

A professor's responsibilities within the institution include effective teaching, student advising and counseling, and participation on specified committees. She/He should maintain currency in his/her field by participation in professional activities and scholarly pursuits available to him/her.

Beyond her/his professional and institutional responsibilities the professor is free to do as he/she will; however, he/she is encouraged to participate in community activities.

Major time-consuming and energy-demanding extra academic activities should be avoided during the scholastic year; however, some adjustments could be made by shifting the professor's load, i.e., he/she could negotiate to teach an reduced teaching assignment during one semester and an overload during another, thus balancing the overall teaching requirements according to her/his needs.

Any full-time faculty member who wishes to engage in sustained extramural work (e.g., teaching one or more semester- or quarter-long courses at another institution or conducting extensive contracted research) during the academic year must consult with the Provost before the fact in order to explore the advisability of such a commitment.

## **PROFESSIONAL DEVELOPMENT**

### **Externally Funded Grants and Contracts**

Faculty are encouraged to generate and submit applications for grants and contracts funded by non-College sources. These externally-funded grants typically fall under one of two categories. One, those for which the College becomes the grantee: The award is made to the College (rather than the individual) which then is responsible for (1) the appropriate distribution of funds, (2) the performance of award-supported activities, and (3) financial accountability for those funds. These often require a matching financial commitment from the College. The second are those for which professional activities are supported by grants, contracts or personal pecuniary arrangements in which the award is made directly to the individual (rather than the College).

The faculty member should consult with the Provost prior to committing to such activities.

The professional activities supported by externally-funded grants and contracts must conform to the stated purposes of the College and must not attenuate an academic program in achieving its stated educational goals. Moreover, the policy describing **Extra-Institutional Employment** may be applicable. Thus, appropriate College administrative offices (e.g., Business, Provost, Development) must be notified about any application plans early in the application process. The faculty member will find these prior contacts prudent because most grant and contract agencies require a signature from one, or more, of these administrative officers on the application.

Resolution of any discrepancy between College policy and a grant or contract proposal will be made on a case-by-case basis.

The policy appears in full on the College website; from the site index: [HUMAN RESOURCES\CAMPUS POLICIES AND PROCEDURES\ACADEMIC POLICIES\Grants and Contracts Policy.](#)



## **Faculty Development, Enrichment and Renewal**

Faculty development is a joint responsibility of the faculty and the administration. As professionals, faculty have an obligation to maintain currency in their fields and to continue throughout their professional lives to seek to improve their skills as teachers, advisors, researchers and purveyors of public service. The faculty thus approved, and administrative personnel endorsed, this expression of responsibility and the following statements of principles and procedures.

Principles. Programs of faculty development should be based on the following principles:

1. to improve learning, as distinct from merely improving teaching;
2. to help define questions, rather than prescribing answers;
3. to design specific classroom strategies, rather than offering general advice;
4. to appeal to a wide range of intrinsic, long-term motivations to encourage faculty participation (i.e., appeal to intellectual interests, celebrating risks and experimentation, rewarding teams or units rather than individuals);
5. to adopt promising ideas, rather than merely adopting new ones;
6. to pursue long-term quality improvements, rather than merely seeking large numbers of participants.

These principles, while directed toward teaching enhancement, are not to be interpreted narrowly, i.e., programs fostering the development of general "professional expertise" (e.g., Goal 3, below) are consistent with these statements.

Goals. In keeping with the principles outlined above and the mission of Catawba College, faculty development programs should operate to achieve the following ends:

1. improvements in student learning;
2. the creating of a workplace environment in which students can learn effectively and faculty can find personal fulfillment as teachers, researchers and community leaders;
3. the conservation and enhancement of human resources, specifically the intellectual capital, professional expertise and repertoire of skills represented by faculty; and
4. the sustaining of a healthy and productive work force.

Faculty should strive toward these goals, personnel policies should reinforce them, and the College's planning and budgeting processes should support faculty development programs designed to achieve them.

Two programs that follow directly from these principles and goals are the Sabbatical Leave program and the Summer Grants programs.

## Professional Travel and Research Funds

Faculty members are encouraged to keep in close touch with their respective professional organizations and attend these association meetings on a regular basis. The College supports such participation at such meetings by helping to underwrite travel expenses, when the College's financial situation permits, upon application by the faculty member and approval by the Provost. When budgetary constraints do not allow full funding of all requests, the Instructional Support Committee will review applications and submit a ranking to the Provost for consideration. However, no department funds are allowed for professional travel unless approved in advance by the Provost.

If the faculty member is to present a formal paper (i.e., of publishable quality), additional support may be available. The Board of Trustees approved a policy that *"In the event a faculty member is to present a formal paper to a professional group, the College will provide an additional sum for transportation upon approval of the Provost and the Business Manager."* This policy is qualified in that additional assistance will be provided:

- when needed, i.e., assistance will not be available if the faculty member's expenses are underwritten by the organization, or the faculty member is to receive an honorarium or other remuneration;
- if funds are available; and
- depending on the degree of participation, i.e., additional funds are precluded for roles as officers, discussion leaders, or panelists.

Similarly, when possible, the College may allocate funds to underwrite faculty research.

Owing to budget constraints, the degree of support for professional travel and research likely will vary markedly from year-to-year.

The faculty member should contact the Provost's Office for the guidelines currently followed in allocating funds for professional travel and to obtain forms necessary to secure travel funds.

## Sabbatical Leave Program

Sabbatical leaves are awarded to faculty members for the pursuit of scholarly or creative work. Current guidelines and procedures appear in full on the College website, from the site index: [HUMAN RESOURCES\CAMPUS POLICIES AND PROCEDURES\ACADEMIC POLICIES\Sabbatical Leave Policy and Procedure](#).

## Summer Grant Program

Summer grants have been awarded annually to faculty members to encourage their (a) development as teachers, (b) professional development, and (c) independent research. The Instructional Support Committee develops the priorities for each year, solicits proposals from faculty, and recommends awards to the Provost on the basis of the adjudged match between the proposals and the priorities, i.e., educational improvements that bear on College tenure requirements usually are given the highest priority. The Summer Grant Program will continue to the extent funds are available. Current guidelines and procedures appear in full on the College website, from the site index: [HUMAN RESOURCES\CAMPUS POLICIES AND PROCEDURES\ACADEMIC POLICIES\Summer Grants Policy and Procedure](#)

## **ADMINISTRATIVE COUNCILS**

An Administrative "council" is established under the aegis of a senior administrator; that administrator coordinates membership; and the council is responsible to that administrator.

### **Faculty Athletic Council**

This Council functions to articulate and affirm the philosophy and mission on intercollegiate athletics at the College and to promote communication between faculty and the Athletics Department, particularly regarding the goals, policies and programs of the this Department. The Faculty Athletics Representative will serve on this Council.

## **AMENDMENTS AND ADDITIONAL PROVISIONS**

This document shall be referred to as the PRINCIPLES OF GOVERNANCE OF CATAWBA COLLEGE.

These Principles of Governance are intended to supersede and replace previous editions of the Catawba College Faculty Handbook, and to incorporate modern policies and procedures important to the governance of the College, applicable as of the date of adoption by the Board of Trustees.

These Principles of Governance may be amended or supplemented by additional provisions, each of which must be approved by the President, and shall be effective as to the original, and any amendments or additions, upon the date of approval by the Board of Trustees.

All Appendices are shown for illustrative purposes only, and in the event of any conflict between the provisions of any Appendix, whether attached now or added hereafter, with these Principles of Governance, the provisions of these Principles of Governance shall prevail.

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## **APPENDIX ON FACULTY SENATE CONSTITUTION, BY-LAWS, POLICIES AND PROCEDURES**

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### **The Faculty Senate**

The Senate is composed of 12 members elected by the faculty. Senate members serve staggered terms of three years each.

Unless otherwise announced, meetings are open to observers from the faculty and administration, and the minutes from each meeting are posted on the Faculty Senate website.

### **The Constitution of the Faculty Senate**

#### 1. Purpose

The Faculty Senate of Catawba College shall be a representative body of the faculty of Catawba College. The Faculty Senate shall act for the faculty in providing information and recommendations to the President and Trustees of the College regarding faculty interests, rights and concerns including benefits and welfare; shall communicate to the faculty the results of its deliberations and carry out such tasks as the faculty may entrust to it; and may initiate actions of the faculty, subject to the approval of the faculty.

#### 2. Structure and Procedures

##### a) Voting

All full-time faculty members of Catawba College shall be eligible to vote in the election of the Faculty Senate.

##### b) Composition of the Senate

The Faculty Senate shall be composed of twelve full-time faculty chosen as follows: Three professors chosen by all faculty members of the rank of professor; three associate professors chosen by faculty members of the rank of associate professor; three assistant professors and/or instructors chosen by the faculty members of the rank of assistant professor and instructor; and three At-Large faculty members of any rank chosen by the faculty.

c) Terms

The members of the Faculty Senate shall be elected for terms of three years. Members shall be eligible for re-election. Should a member of the Faculty Senate leave the College or resign from the Senate, the unexpired term shall be filled by a special election at the earliest opportunity. Should a member representing an academic rank be promoted to another rank, she/he shall serve the remainder of the term but shall thereafter be eligible for election at the new rank.

d) Elections

Elections shall be held at or before the last regularly scheduled faculty meeting in the year. The Senate shall act as an elections committee to supervise procedures. Both nominations and voting shall include the entire full-time faculty. New members of the Senate shall begin their terms officially on the first day of the next academic year.

e) Officers

The Faculty Senate shall choose from its members a Chair, Vice Chair, Secretary and such other officers as are deemed necessary. These officers will assume their positions at the first Senate meeting of the next academic year.

f) Committees

The Faculty Senate shall appoint such committees as are considered necessary to expedite its work. Such committees may, at the discretion of the Senate, be composed wholly or in part of faculty members who are not members of the Senate.

g) Meetings

The Faculty Senate shall meet regularly before each regular meeting of the faculty.

h) Rules of Procedure

The Faculty Senate shall adopt such rules of procedure as it considers desirable, describing them in its By-Laws.

i) Amendments

This constitution may be amended by a majority vote of the faculty at any of its regular meetings. Amendments may be proposed by the Faculty Senate, which shall consider proposals by any faculty member, or may be proposed by a petition of any five faculty members. Proposed Amendments must be submitted in writing

and read aloud into the minutes at least one faculty meeting prior to the meeting during which the vote is to be taken.

### **By-Laws of the Faculty Senate**

1. The Chair of the Faculty Senate shall vote only in case of a tie vote.
2. All meetings of the Faculty Senate shall be open to observers and visitors from the faculty and administration unless otherwise announced. Any meeting or portion of a meeting may be closed when a proposal to this effect is submitted by a member of the Senate and is approved by a majority of the members (or a majority of the members present if the proposal is made during a meeting).
3. Visitors may make comments or ask questions when they are recognized by the Chair. The Chair may request clarification on the nature of the intended remarks before deciding upon recognition.

#### Duties of the Officers of the Faculty Senate

1. Duties of the Senate Chair include but are not limited to:
  - a. Notifying members of Senate meetings, providing agendas, and ensuring minutes are taken at each meeting
  - b. Acting as a liaison between the faculty and the administration
  - c. Forming necessary subcommittees of the Senate as issues arise
  - d. Recommending membership on the Standing Committees to the Provost
  - e. Providing orientation for committee chairs as to the functions and operating procedures of the committees
  - f. Holding faculty elections for the elected standing governance committees at or before the last regularly scheduled faculty meeting in the Spring
  - g. Appointing the Governance and Standards Committee, which annually reviews and revises the *Standards of Appointment* and *Principles of Governance* documents as needed only after approval of the Board of Trustees.
  - h. On an annual basis and in conjunction with committee chairs and members,
    - a. reviews the role, functions, and operating procedures of these standing committees,
    - b. assesses the effectiveness of the committees,
    - c. compiles the evaluation of committee chairs from committee members and gives the results to the committee chairs.
  - i. Meeting regularly with the President and Provost

2. Duties of the Senate Vice-Chair include but are not limited to:
  - a. Presiding over the meeting if the Chair is absent
  - b. Sending and collecting the committee preference forms in the Spring.
  
3. Duties of the Senate Secretary include but are not limited to:
  - a. Taking the minutes at every meeting
  - b. Distributing the minutes to the full faculty
  - c. Posting the minutes on the Faculty Senate website
  - d. Providing the library a copy of the minutes for the archives.

#### Standing Committees of the Faculty Senate

The Faculty Senate establishes committees to address matters of broad faculty concern. These committees operate under the aegis of, and are responsible to, the Faculty Senate but need not be staffed by Faculty Senate members. The current standing committees are:

- i. The Faculty Senate Executive Committee
  - a. The membership of this committee consists of the Chair, Vice-Chair, Secretary and one other member elected by the Senate. This committee will assist the Chair in carrying out items d, e, and h above under the Chair's duties.
  
- ii. The Governance and Standards Committee
  - a. This committee coordinates the compilation, publication and distribution of the *Principles of Governance* Document and the *Standards of Appointment and Service of Catawba College Faculty*. This committee will meet at least annually. Any changes to these documents must be presented to this committee, after review and approval by the Faculty, the administration and the Board of Trustees.

## **Appendix Regarding Meetings of The Faculty**

Regular meetings of the faculty are held once a month during the academic year or may be called on special occasions. The Chair of the Faculty Senate should be consulted prior to any cancellation of a regularly scheduled faculty meeting.

The Provost or his/her designated representative serves as the presiding officer at faculty meetings. All faculty meetings are governed by *Robert's Rules of Order* in matters of parliamentary procedure. For the version to be referenced for these proceedings, see <http://www.robertsrules.com/>

Each meeting will be monitored by the College's Parliamentarian. The College Parliamentarian will be appointed by the Provost to serve a 3-year renewable term. Every faculty member should attend these meetings.

All full-time faculty who teach during the day program are awarded voting privileges at faculty meetings. Evening full-time faculty may only vote at faculty meetings if they serve on a standing committee. Special category faculty may only be awarded voting privileges at faculty meetings if they are full time and serve on a standing committee. Part-time faculty are not awarded voting privileges at faculty meetings.

The Provost, in consultation with the Faculty Senate, is responsible for making administrative rulings about the employment contract status and faculty position of faculty members, should a question about an individual voter arise.

All action items brought before the faculty shall be published and made available to all faculty no later than the sixth day prior to any meeting; this shall apply to the proposals advanced by the administration, College committees (standing, *ad hoc*, or appointed), and any individual. An "action item" is defined as one that encompasses any of the following:

- the modification or removal of any current policy,
- the introduction of new policy,
- the curriculum,
- the calendar, or
- academic requirements.

Any action item advanced at a meeting without the prior designated publication may be placed on the agenda by a two-thirds vote of the faculty in attendance.



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## **STANDARDS OF APPOINTMENT AND SERVICE OF CATAWBA COLLEGE FACULTY**

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Members of the Faculty of the College, appointed by the President upon the recommendation of the Provost, are responsible for the teaching and other academic programs of the College, as the same may be approved by the Board of Trustees.

Catawba College fulfills its mission of “providing an education rich in personal attention that blends the knowledge and competencies of liberal studies with career preparation” through qualified faculty who aspire to excel in teaching, along with engaging in scholarship and service.

Every Catawba College Faculty Member is selected, appointed, and employed to become an excellent teacher. Excellent teachers work tirelessly to engage every student, to value their curiosity and inspire their interest, and to study and teach with passionate energy, the work of their lives.

In fulfilling the ideal of becoming an excellent teacher, faculty are protected by, and are responsible to, the principle of academic freedom.

## **Academic Freedom: Rights and Responsibilities**

Work and progress toward this aspiration of excellent teaching is at the heart of every faculty member's engagement with Catawba College. Excellent teaching requires the recognition and protection of academic freedom, including freedom of inquiry and expression, whose real value and purpose come from their free exercise. The Board of Trustees, Administration and Faculty of Catawba College value and protect the exercise of academic freedom in conjunction with the approved programs and mission of the College.

Academic freedom is viewed as a cornerstone of education, in both teaching and the pursuit of scholarship. Institutions of higher education, such as Catawba College, operate for the common good, which depends upon the free search for truth and its free exposition. As such, the need for the free marketplace of ideas is an essential value to a free society, a quality-learning environment, and the ultimate fulfillment of Catawba College's mission of preparing "students to reach their highest potential while becoming responsible citizens with a zeal to enrich human life." Therefore, Catawba College operates for the promotion of the common good, and not to further the interest of either the individual teacher or the institution as a whole.

In ensuring academic freedom, Catawba College pledges to its faculty and students the following:

- Catawba Faculty are free to discuss their subject of expertise and knowledge that pertains to the subject of the course. As such, controversial issues and topics will be at the heart of this freedom, as controversy is at the heart of the free academic inquiry.
- Catawba Faculty are allowed to pursue the inquiry of scholarship, research, and publication of results.
- As citizens, members of a learned profession, and representatives of an educational institution, Catawba Faculty are allowed to speak or write as citizens and free from institutional censorship or discipline. The political, religious, or philosophical beliefs of politicians, administrators, and members of the public cannot be imposed on faculty or students.
- Academic freedom allows faculty members and students the right to challenge one another's views, but not to penalize them for holding those views.
- Academic freedom protects a faculty member's authority to assign grades to students, so long as the grades are not capricious, arbitrary, or unjustly punitive, and encompasses both the individual and institutional right to maintain academic standards and integrity.
- Faculty members are allowed substantial latitude in deciding how to teach the courses for which they are responsible.
- Catawba students are not protected by academic freedom if the faculty member requires students to master course material and the fundamentals of the disciplines that faculty teach.

- Academic freedom allows faculty and students the right to criticize institutional regulations or policies they believe are unfair, but does not give faculty or students the right to ignore institutional regulations or policies.
- Academic freedom allows faculty members and students to seek redress or request a hearing if they believe their academic freedoms have been violated.
- This freedom extends to all members of the Catawba Faculty, whether tenured, tenure track, or non-tenure track.

Concurrently, faculty assume the duties and responsibilities for ensuring academic freedom:

- Catawba Faculty should be careful not to introduce and avoid intruding material into their teaching controversial matters or topics that have no relation to their subject of instruction.
- Catawba Faculty are not protected by academic freedom if the faculty member harasses, intimidates, ridicules, or imposes his or her views on students or colleagues.
- Catawba Faculty are entitled to the inquiry of scholarship and research subject to the adequate performance of their other academic duties, particularly in regards to teaching.
- When Catawba Faculty speak as citizens, as members of a learned profession, or as representatives of the institution, their special position in the community imposes special obligations, most notably that the utterances by Catawba faculty may be judged by the public on the faculty member's profession and institution. Therefore, Catawba faculty should, at all times in their public interactions: be accurate; exercise appropriate restraint; show respect for the opinions of others; and, make every effort to indicate that they are not speaking for the institution.
- Academic freedom does not give faculty or students the right to ignore institutional regulations or policies, though it allows faculty and students the right to criticize regulations or policies they believe are unfair.
- Academic freedom does not protect faculty members from sanctions for professional misconduct, though sanctions require clear proof established through due process.
- Academic freedom does not protect faculty members from non-institutional penalties if they break the law.
- Neither academic freedom nor tenure protects a Catawba faculty member who repeatedly skips class or refuses to teach the classes or subject matter assigned to them.
- Academic freedom does not protect a faculty member from investigations into allegations of misconduct or violations of sound institutional policies, nor from appropriate penalties should such charges be sustained in a hearing of record before an appropriate body.
- Neither academic freedom nor tenure protects a faculty member from various sanctions for poor performance; if minor, sanctions should be grievable; an appropriate hearing must precede major sanctions.

- Academic freedom does not grant an unqualified guarantee of lifetime employment.

### **Statement of Professional Ethics of Faculty at Catawba College**

Faculty, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end faculty devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although faculty may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

As teachers, faculty encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Faculty demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Faculty make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

As colleagues, faculty have obligations that derive from common membership in the community of scholars. Faculty do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Faculty acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Faculty accept their share of faculty responsibilities for the governance of their institution.

As members of an academic institution, faculty seek above all to be effective teachers and scholars. Although faculty observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Faculty give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, faculty recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

As members of their community, faculty have the rights and obligations of other citizens. Faculty measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to Catawba College. When they speak or act as private persons, they avoid creating the impression of

speaking or acting for the institution. As citizens engaged in a profession that depends upon freedom for its health and integrity, faculty have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

### **General Standards for Faculty Appointment and Service**

1. Consistent with the size, program(s), and financial resources of the College, an effort will be made to employ such faculty as will enhance the richness and variety of the academic and human resources which the College offers its students.
2. Persons whose primary responsibilities involve teaching are considered faculty (as are professional librarians).
3. The qualifications for all appointments and continuation of such appointments are individually determined according to current and long-range institutional needs, as assessed by the administration of the College, with assistance from the department chairs and members of the department concerned, the faculty at large, and students.
4. Faculty staffing goals and needs are governed by a long-range staffing plan based on estimates of enrollment, budgets, and other variables, as determined and reviewed annually by the President and Provost, with assistance of department chairs, the faculty at large, students, consistent with the final determinations made by the Board of Trustees.
5. Catawba College is an equal opportunity employer; therefore, appointments are to be made free from prejudice with respect to race, color, religion, sex, age, national origin, disability, sexual orientation, gender identity, or veteran status. Diversity among the faculty and staff of the College is to be valued and encouraged.
6. In keeping with its size and financial resources, the College is committed to a policy of affirmative action in the hiring of all employees of the College.
7. In general, preference is given to those applicants possessing the most appropriate academic and professional credentials corresponding to the entry level determined for the appointment, who also satisfy the particular qualifications for the position as established by the above and succeeding criteria.
8. The College shall employ persons of good character who are in accord with its aims and programs.
9. The College shall employ persons with the most appropriate degree or credentials for the position being filled.

10. Ordinarily, only persons who exemplify a high probability of satisfying the criteria for continuing retention are appointed to full-time faculty positions. Appointees to positions known in advance to be of temporary duration are made aware of the temporary nature of their appointment. Insofar as resources are available, the College assists appointees in their efforts to meet the criteria for continuing employment.
11. The College administration welcomes assessments of candidates by department chairs, department faculty, majors, the faculty at large, and representative students.
12. All appointees are expected to apprise themselves of the requirements, responsibilities, privileges, and benefits of a Catawba faculty member. For its part, the College accepts the responsibility of making such information available to new employees by presenting them with a copy of these standards, and such other materials as may be pertinent to their service. The precise terms and conditions of every appointment are stated in writing and placed in the possession of both the institution and the teacher before the appointment is consummated. Department chairs, moreover, are expected to assist their new faculty in orienting themselves to the campus.
13. Upon the recommendation of the Provost to the President, all faculty will be employed for fixed terms upon written contracts of employment.
14. Full time faculty will be expected to teach at least 24 semester hours per academic year during the term of employment provided therein, and for such renewals and extensions as may be agreed.
15. Faculty employed to teach less than 24 semester hours per academic year shall be deemed part-time faculty, and shall serve under written contracts of employment during the term of employment provided therein, and for such renewals and extensions as may be agreed. Exceptions to this standard are made for full-time faculty undertaking administrative or other responsibilities (such as Deans, Department Chairs, and Program Chairs) or other teaching responsibilities (see Teaching Responsibilities of the “Principles of Governance” document).
16. A faculty member who resigns voluntarily should give due consideration to the problems that may arise in obtaining a replacement and should fix the effective date of resignation with this commitment in mind.
17. Catawba College recognizes that many of the policies and procedures specified in this document are similar to those recommended by the American Association of University Professors (AAUP) and other similar organizations. Catawba College takes into consideration, without obligation to conform with, such guidelines when establishing policies regarding faculty appointment, rank and term, along with other policies and procedures.

## Faculty Appointment

All persons under faculty appointment with the College shall be appointed and afforded opportunities for promotion to academic ranks consistent with Catawba's guidelines. Academic ranks accorded librarians appear in sections below.

1. Catawba College recognizes three categories regarding faculty appointment with the College: full-time, part-time, and visiting, with the appropriate category indicated clearly on each faculty contract.
  - a. **Full-time category** will be accorded persons who carry a normal teaching load (at least 24 semester hours per academic year) or its equivalent in academic employment (e.g., service as professional librarian, director or designer of dramatic productions, director of a choir, band or orchestra, and resident scholar or artist) over the course of the academic year, allowing some flexibility (e.g., balancing an overload with compensatory reassigned time) for the benefit of the faculty member or the institution. Administrative, staff, and student services duties (e.g., coaching athletic teams, health service nursing, counseling, and serving as chaplain) shall not be counted as academic employment. Full-time appointments are subject to the following subcategories:
    - Tenured: persons who have been confirmed in such status by action of the Board of Trustees on recommendation of the President, subsequent to appropriate peer and administrative review.
    - Tenure-track appointment: persons who are appointed without contractual understanding that the appointment is for a maximum fixed term but who have not achieved tenured status. These appointments are also called probationary appointments and carry the possibility of tenure at a future date.

Catawba College grants tenure, through final approval by the Board of Trustees, only to full-time teaching faculty appointed to tenure-track positions.

Consonant with traditional academic practices, all faculty receiving a full-time, tenure-track appointment with the college, regardless of academic rank, are eligible for appointment to a probationary tenure period, which shall be no longer than six academic years, unless otherwise extended pursuant to an approved extension (and not to exceed one academic year; see page 141, #7).

At the time of the faculty member's appointment, the College may recognize service at another institution by decreasing the probationary tenure period with Catawba College by up to three years.

The decision year shall be noted on the initial contract.

The probationary tenure period culminates in the “decision year,” which is the last year of the appointment. The faculty member must apply for tenure by the schedule developed and announced by the Faculty Tenure and Promotion Committee. Failure to apply in a timely manner is deemed a resignation, effective at the end of the academic year. Faculty may be reviewed for tenure only once. The faculty member will be notified of the administration’s recommendation to the Board of Trustees by December 15 of the decision year. The section “Procedures for Consideration for Tenure” provides specifics regarding other activities during this phase leading up to the decision year.

In the event of a positive decision by the Board of Trustees in granting tenure, the faculty member’s tenured status takes effect with the beginning of the next academic year appointment.

In the event of a negative decision, the following academic year will be terminal for the faculty member and reappointment will not be made beyond that year.

As an illustrative example of the probationary period along with the activities regarding tenure, the following table is offered as an explanation of the probationary period:

Year	Academic Year (for example)	Activities Associated in the Year
1 (probationary)	2011-12	• Appointment and service commences
2 (probationary)	2012-13	
3 (probationary)	2013-14	• Progress Towards Tenure Review
4 (probationary)	2014-15	
5 (probationary)	2015-16	
6 (probationary)	2016-17	• Decision Year for Tenure
7	2017-18	• Status converts to tenured OR • terminal contract year

- Non-Tenure-Track appointment: persons who receive a fixed-term contract that indicates the anticipated duration of their employment.

Faculty appointed as full-time, non-tenure-track will serve at the rank of Instructor or Assistant Professor and will meet all requirements for academic preparation as required by the criteria for accreditation by the Southern



Association of Colleges and Schools' Commission on Colleges (SACSCOC). For each full-time, non-tenure-track position, the Provost and the appropriate department chair(s) will confer at least every two years to evaluate the future of this position in light of departmental and institutional needs. At the end of the fixed-term, the Provost and relevant academic department(s) will determine whether, and in what capacity, the faculty member will continue at the college.

Full-time, non-tenure-track faculty are eligible for consideration for increases in compensation, based on an evaluation of their performances in terms of their classroom teaching, availability to students, and reasonable cooperation with faculty and administration. They are not expected to serve on committees, pursue continuing scholarship, or serve as academic advisors, but they are eligible to do so. They are not expected, however, to provide departmental leadership.

Full-time, non-tenure-track faculty should not teach beyond the normal load unless extraordinary conditions require it; when teaching beyond the normal load, it will be entirely voluntary and compensated at the prevailing rates for overload pay. These faculty will receive all normal benefits of full-time employees.

In the case of non-renewal, the faculty member will be notified based on the following schedule:

- a. Not later than March 1 of the first academic year of service.
  - b. Not later than December 15 of the second academic year of service.
  - c. At least twelve months before the expiration of an appointment after two or more years of service to the institution.
- b. **Part-Time category** will be accorded to persons teaching the equivalent of no more than 9 credit hours per semester and will receive contracts that indicate the duration of their employment and their terms and conditions of employment.

Part-time faculty are appointed as adjuncts and are not eligible for tenure consideration.

- c. **Visiting category** will be accorded to persons appointed by the administration, after consultation with the relevant academic departments.

Visiting positions may be either full-time or part-time and are hired for a specific length of time, normally no longer than three academic years. Visiting positions are used to temporarily fill faculty positions when vacancies occur. All duties, responsibilities, policies and other terms of employment that normally apply to regular full-time faculty members, except for tenure and promotion, apply for visiting full-time faculty.

## **Faculty Rank**

1. Appointments of academic faculty rank are based on standards specified as follows:

In view of their training and experience, members of the faculty shall be employed in the rank of instructor, assistant professor, associate professor, or (full) professor, under usual circumstances, in accordance with the following criteria:

Instructor: An earned master's degree in the appropriate field of study or requisite and relevant experience, or at least the equivalent of a master's degree in an approved doctoral program.

Assistant Professor: An earned master's degree or the equivalent in the appropriate field of study plus the satisfactory completion of an additional year of study toward the next higher degree or mark of distinction in the field, and at least two years of successful teaching experience or the equivalent or the earned doctorate in the field of specialization.

Associate Professor: An appropriate terminal degree in the field of specialization, typically the earned doctorate, at least five years of professional experience, and at least five years at the Assistant Professor level. Primary consideration will be given to demonstration of highly effective teaching by presenting a well thought out teaching philosophy (including a discussion of pedagogy development), evidence of the use of assessment of student learning outcomes and of teaching effectiveness to improve teaching, and a plan for long-range growth in teaching. Further, the candidate will have a well-articulated, long-term professional plan of continuing scholarship and currency in their chosen field.

(Full) Professor: An appropriate terminal degree in the field of specialization, typically the earned doctorate, at least 10 years of college-level teaching or professional work within the field, and at least five years of experience at the Associate level. Additionally, candidates for this rank must demonstrate continued highly effective teaching (i.e., effective in conveying knowledge, stimulating learning, evidence of the use of assessment of student learning outcomes and of teaching effectiveness to improve teaching, evaluating academic performance and advising students in academic matters). Candidates must also demonstrate continuing success in fulfilling a well-articulated, long-term professional plan of continuing scholarship and currency in their chosen field. Such a plan may include, but is not limited to, substantive contribution to learned societies; research in their chosen field; professional artistic performances or presentations; research in pedagogy within their chosen field; or publications. While the Faculty Tenure and Promotion Committee will consider the availability of institutional support in its evaluation of a candidate's continuing scholarship, candidates must clearly

understand that individual faculty members are responsible for initiating and promoting their own professional growth and development.

In rare instances, particularly in the case of an associate or full professor, qualifications as to education and/or professional experiences within an area of specialization may be presented that faculty peers judge to be the equivalent of the above standards. In such instances, the Board of Trustees, upon recommendation of the President, following consultation with the Provost, should consider appointing the individual to the rank deemed appropriate.

2. Salary ranges are offered in relation to respective academic ranks. The specific salaries offered individual teachers are determined annually or biennially in the context of performance and credentials evaluation, as well as the financial resources available to the College. Such raises reflect both broadly applied percentage patterns and individual differentiations based on evaluation. The evaluation criteria for determining salary increments are identical with performance standards for faculty retention.
3. Promotions and salaries are to be determined fairly, and shall not be based upon prejudice resulting from any consideration of race, color, religion, age, sex, national origin, disability, sexual orientation, gender identity, or veteran status.
4. The grounds for promotions, salary offers, and decisions upon continuation or termination of employment shall not violate the faculty member's academic freedom or punish him/her for exercising academic freedom in performance of her/his duties towards the College; they shall not violate his/her constitutional rights under the United States or North Carolina Constitutions, or punish her/him for exercising them; they will represent the express standards stated above and the deliberate exercise of professional judgment in the particular institutional circumstances.
5. If the faculty member affected, after consultation with the President of the College, feels that the salary decision was based on improper considerations, in violation of the foregoing guidelines, he/she may request a review of the decision by the Department Chair and/or Dean and the Provost, and he/she shall be entitled to their prompt consideration and determination upon the complaint.

## **Procedures for Retention**

1. Decisions on faculty retention are made by the President and the Provost of the College in accordance with the policies set forth below.
2. Tenure is a public recognition of achievement and service by a faculty member, as evaluated by established procedures and criteria. The grant of tenure provides an appointment without term in the rank in which the faculty member is tenured or to which the faculty member is subsequently promoted. The purpose of tenure is to ensure academic freedom in the classroom and in research. Tenure is granted only by action of the Board of Trustees. Similarly, tenure may only be terminated by action of the Board of Trustees. Tenured faculty appointments can only be terminated for adequate cause, except in the case of medical cause, or under the extraordinary circumstances resulting from financial exigencies.
3. Catawba College grants tenure only to full-time teaching faculty appointed to tenure-track positions.
4. Consonant with traditional academic practices, all persons receiving a full-time, tenure-track appointment with the college, regardless of academic rank, are appointed to a probationary tenure period, which shall be no longer than six academic years, unless otherwise extended pursuant to an approved extension (and not to exceed one academic year).
5. At the time of the person's appointment, the College may recognize service at another institution by decreasing the probationary tenure period with Catawba College by up to three years.
6. The decision year shall be noted on the initial contract.
7. Reappointment is done through the issuance of an annual contract that governs salary, academic rank, and administrative or other non-teaching assignments to faculty members who are to be retained for the following year before April 15. The precise terms and conditions of the appointment are stated in writing and a copy of the document is supplied to the faculty member before the appointment is consummated. Faculty members are required to accept or decline their contracts within thirty days. Failure to do either is interpreted as a resignation by the faculty member. Commitments for summer employment are made by separate agreement.
8. A faculty member serving in a probationary tenure period may request a delay in consideration for tenure for up to one year as a result of life changing events, such as childbirth, the demands of caring for dependents, and those events covered under the Family Medical Leave Act, and which may be reasonably expected to affect the faculty member's ability to make progress toward meeting tenure requirements. Any request

for delay in consideration for tenure must be made, in writing, to the Provost and must set forth specifically the basis for the request. The faculty member making the request must provide any additional information or documentation reasonably requested by the Provost. More than one request may be granted, however, the total aggregate length of time for all requests granted to a probationary faculty member ordinarily shall be no more than one year.

9. During the probationary tenure period, a faculty member in the probationary tenure period shall have the academic freedom extended to tenured members of the faculty.
10. Decisions on tenure shall be made by the Board of Trustees upon the recommendation of the President of the College, who considers recommendations of the Faculty Tenure and Promotion Committee (a body constituted of tenured professors with its operations determined by the faculty), consults with the Provost and the person's department chair, and utilizes the data provided by faculty evaluation.
11. Tenure policy is kept under review by the President of the College, in consultation with the Provost, Trustees, and the Faculty Tenure and Promotion Committee.
12. The academic and professional **Criteria for Retention** as a member of the Catawba faculty are contained in the following and interpreted in the faculty evaluation:
  - a. Academic preparation, as evidenced by degrees held from an accredited institution, hours toward higher degrees, hours beyond the highest degree held, and preparation in one's specific teaching field.
  - b. Experience in teaching, as evidenced by the number of years and/or the number of courses taught.
  - c. Performance in teaching, as evidenced by effectiveness in conveying knowledge, stimulating learning, advising students in academic matters, and evaluating academic performance. Dedication to, significant work in professional development, and progress toward being an excellent teacher are demonstrated.
  - d. Continuing scholarship, as evidenced by publications, participation in learned societies, seminars, or workshops (membership, attendance at meetings, holding offices, chairing sessions, and reading papers), and current awards, grants, honors, etc.
  - e. Competence in leadership, as evidenced by effective leadership of committees or sub-committees, leadership in departmental or College-wide initiatives, departmental organization and supervision (for chairs), etc.
  - f. Participation and performance on faculty committees, as evidenced by faithful attendance and cooperative service on committees to which one is assigned and/or effective leadership in chairing committees.
  - g. Reasonable cooperation with faculty and administration, as evidenced by participation in faculty meetings and conferences, compliance with regulations governing all faculty, as set forth herein, and a reasonable respect for professional ethics, courtesy, and attitude as applied to relations with one's colleagues.

- h. Constructive participation in College life, as evidenced by effective academic advising, availability to students, advising and chaperoning student organizations, campus (but non-classroom) lectures, performances, consultations, etc., and leadership and participation in campus symposia, conferences, etc.
- i. Constructive participation in community life, as evidenced by the sharing of professional expertise with community organizations (as speaker, counselor, etc.) or other activities that reflect upon the College's academic image.

The above criteria are applied to all faculty. Standards a-d, involving academic preparation, experience in teaching, performance in teaching, and continuing scholarship, are assigned highest priority. No faculty member is expected to excel in all areas of evaluation, but all faculty are expected to be effective and stimulating teachers, to remain alert to new ideas and methods in their disciplines, and to make a positive contribution to the total life of the campus community.

- 13. Administrative decisions on retention are informed by the assessment of faculty performance provided by a College-wide program of faculty evaluation, involving department chairs, other faculty, and students.
- 14. Faculty members may present evidence on their own behalf, which is given due regard in evaluations of their credentials and performance.
- 15. In addition to the above academic and professional criteria, all candidates for retention are expected to meet the following requirements:
  - a. completion within five years from the date of employment of all requirements pertaining to the rank of Assistant Professor at Catawba College;
  - b. fulfillment of all contract obligations agreed to in writing as a condition of employment; and,
  - c. maintenance of such physical and mental health as allows full performance of the duties expected and undertaken in the contract of employment, subject to reasonable accommodations as permitted or required by law.
- 16. Decisions on retention are to be made without discrimination based upon race, color, religion, sex, age, national origin, disability, sexual orientation, gender identity, or veteran status.

## **Faculty Evaluation**

Faculty performance shall be evaluated annually, to include a college-wide program of student evaluation of all courses, for purposes of (a) Retention, (b) Promotions, and (c) determining salary adjustments.

Faculty are evaluated every year by the Department Chair using the Faculty Evaluation Form (LINK).

The three categories and their respective weights on the Faculty Evaluation form are *Performance in Teaching (50%)*, *Continuing Scholarship (25%)*, and *Institutional Service (25%)*. The Department Chair must provide narrative to accompany the given evaluative rating.

Department Chairs are evaluated every year by the appropriate Dean using the same Faculty Evaluation Form. Department Chairs who do not report to a Dean and Deans are evaluated by the Provost.

The Department Chair will recommend to the Dean and the Provost whether the faculty member should be retained and continued in employment at the end of each contract period. Grievances regarding such recommendations, or actions taken upon such recommendations, may be made and shall be heard in accordance with the grievance provisions provided for grievances arising out of dismissals and suspensions for Adequate Cause.

The annual evaluation prepared by the department chair also will include a specific recommendation that the probationary faculty member's contract be renewed or not renewed for the following academic year. In the case of non-renewal, the faculty member will be notified based on the following schedule:

- a. Not later than March 1 of the first academic year of service.
- b. Not later than December 15 of the second academic year of service.
- c. At least twelve months before the expiration of an appointment after two or more years of service to the institution.

## **Procedures for Consideration for Tenure**

Catawba College recognizes two components for tenure consideration: a “progress toward tenure” review and the tenure review. The following outlines the procedures for tenure consideration.

### **Progress Toward Tenure Reviews**

The Faculty Tenure and Promotion Committee (FTPC) is assigned the responsibility of reviewing materials submitted by probationary faculty members to make recommendations to the Provost about progress toward tenure.

During the approximate middle of the probationary period, each faculty member will receive formal "progress" feedback from the FTPC, typically during the spring term. This "progress-review" will occur during the third year for persons not given credit toward tenure for prior professional experience. Persons given credit toward tenure will be given the option for a progress review by the FTPC.

To effect this feedback, the FTPC will receive from the candidate a Progress-Toward Tenure file, which will include the following:

- a narrative from the faculty member issued in support of his/her candidacy encompassing her/his service up to the mid-period review (the narrative should discuss each performance standard of the **Criteria for Retention** and include a well thought out teaching philosophy, including a discussion of pedagogical development, and a plan for long-range improvement in teaching);
- a current vita;
- copies of any correspondence between an academic officer and the candidate which pertain to performance;
- copies of the person's FPARs (provided by the faculty member);
- copies of annual chair evaluations of the candidate's teaching and departmental performances (A candidate who is a department chair should secure copies of annual evaluations by their Dean and /or previous department chairs);
- copies of annual progress toward tenure status reports;
- copies of the standard College student evaluations of teaching for all courses taught each semester prior to the semester in which the candidate applies;
- a letter from the department Chair that will include a cumulative assessment about that person's progress toward tenure status to be sent directly to the Coordinator of the FTPC (Candidates who are department Chairs will request the letter from the Dean of their school or from a faculty member designated by the Provost);
- copies of evaluations of committee performances by the committee chairs;
- any document relevant to any of the **Criteria for Retention**;
- course syllabi;
- statements of professional participations and/or research activities;
- statements of extracurricular involvements with the College; and/or,
- documents outlining additional academic work and/or honors.

The FTPC will provide a written response presenting the FTPC's collective judgment about "progress toward tenure" based on the evaluation of the materials provided at the midpoint juncture. This judgment will not be binding on the FTPC later, when the FTPC formally generates a tenure recommendation.



A copy of this written response will be sent to the Department Chair, the appropriate Dean, and to the Provost. The Provost will also receive the materials the faculty member submitted. The Provost will provide a written response concerning the content of the review to the faculty member, and then will meet with the faculty member to discuss progress toward tenure and the tenure process. The faculty member and/or the Provost may request a meeting with the FTPC to clarify any questions they might have about the review, the tenure process, or progress toward tenure.

### **Tenure Review Procedures**

The Faculty Tenure and Promotion Committee (FTPC) is assigned the responsibility of reviewing materials submitted by probationary faculty members to make recommendations to the Provost about the awarding of tenure. The FTPC bears the responsibility for implementing the appropriate procedures (outlined below) during the decision year.

#### Pre-Decision Year Meeting

During the year immediately preceding the decision year (the fifth year, in most instances), the FTPC will attempt to meet with each person who will be a tenure candidate in the following year. This meeting will afford the person an opportunity to raise questions or seek clarifications about the decision-year procedures.

#### Decision Year Procedures

The probationary tenure period culminates in the “decision year,” which is the last year of the appointment. The faculty member must apply for tenure by the schedule developed and announced by the Faculty Tenure and Promotion Committee. Failure to apply in a timely manner is deemed a resignation, effective at the end of the academic year. Faculty may be reviewed for tenure only once. The faculty member will be notified of the administration’s recommendation to the Board of Trustees by December 15 of the decision year.

Early in the fall term the FTPC will announce publicly the list of candidates being considered for a tenure recommendation during that year. The Provost will provide this list to the FTPC. Any faculty member wishing to write the FTPC concerning a given candidate for tenure will be invited to do so (a reminder: the file can be reviewed by the candidate during this period). The FTPC membership considers any informal conversations about a candidate, albeit "pro" or "con", to be irrelevant, inappropriate and in breach of professional decorum.

About the same time, each candidate will receive a letter from the FTPC asking the candidate to submit the tenure file, i.e., provide the FTPC with materials deemed supportive of an affirmative recommendation. The candidate also will be asked to solicit letters from three (3) faculty colleagues in support of tenure for the candidate. The candidate will provide the names of those colleagues to the FTPC so these "solicited" letters can be distinguished from "unsolicited" letters.

The FTPC presumes that a candidate presented credentials at the time of his or her academic appointment that indicated a potential for a later affirmative tenure recommendation. The appointment, however, is not a guarantee that such a recommendation will be issued. Rather, each candidate is responsible for providing the FTPC evidence within a "tenure file" that an affirmative tenure recommendation is warranted.

The tenure file will include materials pertinent to the **Criteria for Retention** including, but not be restricted to:

- a narrative prepared by the candidate in support of affirmative tenure recommendation (The narrative should discuss each performance standard of the **Criteria for Retention** and include a well thought out teaching philosophy, including a discussion of pedagogical development, and a plan for long-range improvement in teaching);
- any letters submitted by Catawba faculty after being invited via public notification of the names of all candidates for tenure (i.e., "unsolicited" letters) to be sent directly to the Coordinator of the FTPC;
- a current vita;
- official notification that the candidate has a tenure-track appointment and all conditions/exceptions related to that appointment;
- official verification of the awarding of the terminal degree from the degree-granting institution (and/or transcripts of nondegree course work);
- copies of any correspondence between an academic officer and the candidate which pertain to performance;
- copies of annual Faculty Professional Activity Reports (FPARs);
- copies of the standard College student evaluations of teaching for all courses taught each semester prior to the semester in which the candidate applies;
- copies of annual chair evaluations of the candidate's teaching and departmental performances (A candidate who is a department chair should secure copies of annual evaluations by their Dean and/or previous department chairs, or from a faculty member designated by the Provost);
- copies of annual progress toward tenure status reports;
- copies of evaluations of committee performances by the committee chairs;
- any document relevant to any of the set of **Criteria for Retention**;
- course syllabi;
- statements of professional participations and/or research activities;
- statements of extracurricular involvements with the College; and/or

- documents outlining additional academic work and/or honors.

The tenure file of a school Dean also must include an original letter concerning the recommendation from a tenured Catawba College faculty member chosen by the Provost from a related field.

Each candidate should request that the following items be sent to the Coordinator of the FTPC, who will insert the items into the tenure file:

- an original, signed letter from the candidate's department Chair assessing the candidate's suitability for tenure (A candidate who is a department chair should secure a letter from the Dean of their school; a school Dean should see below); and,
- original, signed letters from three Catawba faculty members solicited by the candidate supportive of an affirmative recommendation.

At the outset of the FTPC deliberations, each candidate will be scheduled to meet with the FTPC. This arrangement intends to be neither a "rite of passage" nor a "screening", but a continuation of the emphasis on a "personalized" process, i.e., to give the candidate an opportunity to emphasize elements of the tenure file to the FTPC that he or she considers important, give an FTPC member a chance to meet with a candidate and/or seek clarification about a document.

A candidate who wishes to be evaluated for promotion-in-rank during the same academic year as the tenure review process may submit a supplementary file to add to the information already in the Tenure File (see "Procedures for Consideration for Promotion").

A faculty member is served best by treating the tenure file in a dynamic way rather than in a static one, i.e., as a file that is expanded annually rather than one hastily prepared during the decision year. The probationary period is a time for professional growth and skills-development, and the feedback associated with the various evaluations contribute to this growth and development. An occasional unflattering evaluation that has been the source for behavior modification likely will not be viewed with alarm by the FTPC. The FTPC hopes to accord an affirmative tenure recommendation to a candidate whose professorship is "effective" rather than "perfect".

Given that some documentation may be submitted by other faculty directly to the FTPC, each candidate will have one week to review their file after the submission due date. The candidate is prohibited from removing anything from the file submitted. However, the candidate may add a written response to any of the letters submitted directly to the FTPC from colleagues (solicited or unsolicited).

Once received by the FTPC each person's tenure file is considered confidential and access to each file is restricted to current members of the FTPC, the Provost, the College President and the Board of Trustees.

The FTPC will formulate a recommendation based on materials contained within the candidate's "tenure file."

The FTPC will maintain the traditional academic right to free, unfettered and confidential deliberations and decisions regarding tenure matters: The actual FTPC deliberations are both private and confidential within the Committee. Each recommendation that emerges, however, is based solely on considering each person's professional qualifications and performances (as documented in the tenure file) compared to the **Criteria for Retention**. The FTPC will issue one of two recommendations:

- tenure status be granted, or
- tenure status not be granted.

Following deliberations, the FTPC will forward a tenure recommendation to the Provost. The Provost will formulate a tenure recommendation for the President of the College who, in turn, will submit a tenure recommendation to the Board of Trustees. The Board of Trustees constitutes a body empowered to effect the actual tenure decision that tenure is granted or not granted. The President of the College conveys the Board of Trustees' decision to the faculty member. No administrative unit within this recommendation sequence is obligated to accept, automatically, a recommendation as received, but only under rare and unusual circumstances would an FTPC recommendation go unheeded.

Both the Provost and each candidate will receive a letter from the FTPC that indicates the specific tenure recommendation made about her/his candidacy. In addition, the FTPC will provide the bases of their recommendation, in writing, to the Provost but not to the candidate. This document will be sent to the Provost with the letter indicating the specific recommendation. The Provost may request a meeting where the FTPC may provide any information the Provost may need to make a recommendation. The FTPC cannot reconsider their decision at this point. The Provost will forward his/her recommendation to the President along with the rationale and recommendation provided by the FTPC.

In recent years the President or Provost of the College has followed a practice of introducing each candidate for whom an affirmative tenure recommendation is being made to the appropriate committee of the Board of Trustees. This practice, too, is in keeping with the emphasis on personalization given to the procedures, and time and schedule permitting, this practice will be continued. Only affirmative tenure decisions will be announced after the Board of Trustees has acted on the recommendation.

In the event of a positive decision by the Board of Trustees in granting tenure, the faculty member's tenured status takes effect with the beginning of the next academic year appointment.

In the event of a negative decision, the following academic year will be terminal for the faculty member and reappointment will not be made beyond that year.

## Appeal Mechanisms

In the event a candidate is not satisfied with the tenure recommendation offered by the FTPC or any administrative unit within the recommendation sequence, mechanisms for redress are limited. The FTPC will not reconsider a recommendation once that recommendation has been issued. Appeals of tenure recommendations are heard by the Faculty Hearing Committee; in considering an appeal, the Faculty Hearing Committee shall limit its consideration to whether the process failed to substantially comply with established and written policies and procedures, as defined in this handbook. The Faculty Hearing Committee will not substitute its judgment on the substance of the recommendation for that made by any level of review.

## **Procedures for Consideration for Promotion**

### **General Standards for Promotion Review Procedures**

Catawba College recognizes that evaluation and consideration for promotion by academic rank is made separately from evaluation for tenure. Therefore, a separate procedure is detailed for consideration of promotion in academic rank.

There are two components for promotion consideration: a “progress toward promotion” review and the promotion review. The following outlines the procedures for promotion consideration.

#### **Progress Toward Promotion Reviews**

Faculty members at the Assistant Professor or Associate Professor rank may ask the FTPC for a review of their progress toward promotion. To undergo a review, the FTPC will contact eligible faculty members in the third year of the current rank to determine whether they wish to participate in the review process. Affirmation will be provided in writing, with the written response serving to initiate the review process. The faculty member will provide a narrative document describing how he or she is meeting the criteria for promotion, which are based on the **Criteria for Retention**. The focus should be on excellence in teaching and professional development (or the equivalent for professional librarians), as detailed below. The narrative should also describe how the faculty member is developing in other areas essential to the **Criteria for Retention**. These criteria include collegiality, involvement in governance and leadership, and participation in the life of the College and community. These criteria are applied to all candidates for promotion by the FTPC, and thus the narrative should discuss these items.

The narrative need not include the types of supporting documentation (letters, summaries, evaluations) that typically go into a promotion file. The FTPC will review the narrative, and return it, along with a written response presenting the FTPC's collective judgment about progress toward achieving the higher rank. The faculty member may wish to meet with the FTPC to clarify their recommendations. The judgment will not be binding and predictive on the FTPC later, when the FTPC formally makes recommendation about promotion.

**For faculty members at the Assistant Professor rank:** in the spring of the third year at the Assistant Professor level, faculty may submit to the FTPC a detailed narrative describing their teaching practices, with special attention to how they are assessing their effectiveness by presenting a well thought out teaching philosophy (including a discussion of pedagogical development) and a plan for long-range improvement in teaching. The candidate should also include evidence of the use of assessment of student learning

outcomes and teaching effectiveness to improve teaching. The candidate must also include a well-articulated, long-term plan of continuing scholarship and currency in their chosen field.

Librarians seeking this rank should construct their narrative around the descriptions of librarianship at the Associate Librarian level and address the Retention Criteria for Librarians.

**For faculty members at the Associate Professor rank:** in the spring of the third year at the Associate Professor level, faculty may submit to the FTPC a detailed narrative describing their teaching philosophy and plan of professional development. The teaching philosophy may include, for example, a description of how the faculty member is a highly effective teacher, including the assessment of effectiveness in conveying knowledge, stimulating learning, evaluating academic performance, and advising students in academic matters.

The faculty person should also present a well-articulated, long-range plan of professional development, carefully defining what he or she does to contribute to the field, steps taken to effect that plan, assessment of success of the plan, and changes that have been made to better establish currency and contribution to the field.

Librarians seeking this rank should construct their narrative around the descriptions of librarianship at the Librarian level and address the Retention Criteria for Librarians.

### **Promotion Review Procedures**

At the beginning of the academic year, the Provost will provide the FTPC with a list of candidates who qualify for promotion. The FTPC will contact each candidate to determine if the candidate wishes to participate in the review process. The candidate in writing will provide affirmation, and this written note serves to initiate the review procedures.

At a minimum, all written material submitted to the FTPC should focus on the academic and professional criteria for retention, with emphasis upon professional performances while in service at the present rank.

Candidates for promotion will submit all promotion materials to the FTPC before the date established by the FTPC. Because promotion decisions are based on considerations different from retention, and rely on less broad-based documentation, promotion recommendations are treated separately from tenure recommendations. However, as is the case with tenure procedures, each candidate will be granted the opportunity to review the information to be used by the FTPC prior to the Committee's deliberations. Each candidate will have one week to review their file after the submission due date. The candidate is prohibited from removing anything from the file submitted.

However, the candidate may add a written response to any of the letters submitted directly to the FTPC from colleagues (solicited or unsolicited). After formulating a recommendation for each candidate, the FTPC will forward these materials (but without the recommendations) to the Provost for his/her use.

In making promotion decisions for all candidates, the FTPC and the Provost will evaluate each candidate separately. The recommendations of the FTPC and the Provost will be equally weighted. After reviewing, evaluating and formulating a recommendation for each candidate, the FTPC and Provost will meet to compare their separately generated recommendations. If both have formulated similar recommendations about promotion (i.e., either approval or disapproval), a singular recommendation will be forwarded to the President. In the event of dissimilar recommendations, the individual recommendations from both will be forwarded to the President.

Following the meeting with the Provost, the FTPC will inform each candidate about the recommendation the Committee issued and the bases for that recommendation. The Provost, as spokesperson for the President and Board of Trustees, will provide the candidate the bases for the administrative decision that was rendered. Promotion recommendations will be made available by the end of January, and notification of the promotion decision likely will be issued prior to April of the same academic year.

If not satisfied with the decision about promotion that is rendered, the candidate may appeal to the Faculty Grievance Committee. Neither the FTPC nor the Administration will reconsider either the recommendation formulated or the decision. However, a negative decision will not preclude the candidate from initiating a promotion review in a later academic year.

### **Promotion-In-Rank to Associate Professor or (Full) Professor**

The candidate seeking promotion will provide to the FTPC the following information for use in their deliberations:

- a narrative from the candidate in support of his/her candidacy, which should discuss each performance standard of the **Criteria for Retention** and include a philosophy of teaching, an explanation of how teaching evaluations and learning outcomes assessment results are used to improve teaching, and a statement describing the candidate's plan and progress toward continuing professional development and maintaining professional currency.
  - Candidates seeking promotion to Associate Professor should emphasize highly effective teaching, and should include a well-articulated long-term plan of continuing scholarship and currency in their chosen field.
  - Candidates seeking promotion to Full Professor should emphasize success in achieving a long-term professional plan of continuing scholarship and currency in their chosen field as well as excellence in teaching;
- a current vita;



- a copy of the annual chair evaluations of the candidate's teaching and departmental performances (A candidate who is a department chair should secure copies of annual evaluations by their Dean and/or previous department chairs) from each of the preceding years of the candidate's service at the College at the present rank;
- a letter submitted by the candidate's department Chair (For a department chair, the letter will be submitted by the Dean of the appropriate school and address **Criteria for Retention**) to be sent directly to the Coordinator of the FTPC;
- for a Dean of a school, a letter submitted by a tenured faculty member in a related field who was chosen by the Provost to be sent directly to the Coordinator of the FTPC;
- copies of annual Faculty Professional Activities Reports (FPARs) prepared while in service at the present rank;
- copies of the standard College student evaluations of teaching all courses taught each semester while in service at the present rank at Catawba College;
- two letters of support solicited by the candidate from Catawba faculty (at any rank), i.e., "solicited" letters, to be sent directly to the Coordinator of the FTPC;
- any letters submitted by Catawba faculty after being so invited via public notification of the names of all candidates for promotion (i.e., "unsolicited" letters) to be sent directly to the Coordinator of the FTPC;
- copies of evaluations of committee performances by the committee chairs;
- any document relevant to any of the set of **Criteria for Retention** or Promotion Standards for the rank in question;
- course syllabi;
- statements of professional participations and/or research activities;
- statements of extracurricular involvements with the College; and/or,
- documents outlining additional academic work and/or honors.

The materials provided by a candidate who has been a department chair for one or more years prior to the promotion "review year", but is not a department chair during the review year also must include:

- an original letter of evaluation from the Provost addressing the **Criteria for Retention**,
- copies of evaluations from department members from years of service as a department chair, and
- copies of the evaluations of the candidate by his/her department chair prior to the person's service as department chair, if applicable.

A tenure candidate who chooses to be evaluated for promotion-in-rank during the same academic year may submit in lieu of a full promotion file a supplementary file that includes materials required for promotion that are in addition to information already in the tenure file. The supplementary file replaces the full promotion file and applies only to candidates who undergo tenure review during the same academic year. The deadline for submitting the supplementary file is the same as the announced deadline for promotion files.

The supplementary file for a candidate who wishes to be considered for promotion-in-rank to Associate Professor must include:

- a brief written statement confirming that the candidate intends to be evaluated for promotion to Associate Professor during the same academic year as tenure review;
- evidence of the use of assessment of student learning outcomes and of teaching effectiveness to improve teaching;
- a well-articulated, long-term professional plan of continuing scholarship and currency in their chosen field.
- a letter of support for promotion in rank from the Department Chair plus two additional letters of support, as outlined above.
- any additional information the candidate wishes to include.

The supplementary file for a candidate who wishes to be considered for promotion-in-rank to (Full) Professor must include:

- a brief written statement confirming that the candidate intends to be evaluated for promotion to (Full) Professor during the same academic year as tenure review;
- evidence of excellence in teaching, including the use of assessment of student learning outcomes and of teaching effectiveness to improve teaching;
- evidence of continuing success in fulfilling a well-articulated, long-term professional plan of continuing scholarship and currency in their chosen field.
- a letter of support for promotion in rank from the Department Chair plus two additional letters of support, as outlined above.
- any additional information the candidate wishes to include.

## **Librarians**

### **Librarian Appointments**

Librarians at Catawba will be issued 12-month contracts that follow the fiscal year, June 1 to May 31.

Librarians will be fully functional members of the Catawba faculty.

### **Librarian Ranks**

In accordance with their training and experience, librarian members of the faculty will be expected to attain the rank of assistant librarian, associate librarian, or librarian, according to the following standards, which parallel the teaching rank of professor:

Assistant Librarian: A Master's degree in library and information science from an institution accredited by the American Library Association, and up to 5 years comparable professional experience, preferably at an academic institution.

Associate Librarian: A Master's degree in library and information science from an institution accredited by the American Library Association, and at least 5 years comparable professional experience at the Assistant Librarian level, preferably at an academic institution.

(Full) Librarian: A Master's degree in library and information science from an institution accredited by the American Library Association as well as a second Master's degree or a Ph.D., and at least 10 years comparable professional experience, preferably at an academic institution. A librarian holding a Ph.D. may also be appointed at this rank.

### **Criteria for Retention for Librarians**

The academic and professional criteria for retention as a member of the Catawba faculty as a librarian are contained in the following performance standards as set forth below and interpreted in the criteria for faculty evaluation.

- a. Academic preparation, as evidenced by holding a Master's degree in library and information science from an institution accredited by the American Library Association. This degree is considered not only a terminal degree, but also the appropriate degree for academic librarians and is endorsed by the American Library Association, the Association for College and University Librarians, and the Southern Association for Colleges and Schools.

- b. Experience in librarianship, as evidenced by the number of years as a professional librarian.
- c. Performance in librarianship, as evidenced by effectiveness in carrying out the assigned duties and/or duties of the position to which appointed. These may include, but are not limited to:
  - i. Competent performance of public service, reference service, and/or technical service duties and responsibilities;
  - ii. Demonstrated understanding of bibliographic organization and control;
  - iii. Effective involvement in collection development activities;
  - iv. Effective performance of individualized and/or group interaction;
  - v. Effective teaching of classes;
  - vi. Responsibility for the effective management, administration, coordination and/or supervision of staff services and/or programs.
- d. Continuing scholarship, as evidenced by publications, participation in learned societies, seminars, or workshops (membership, attendance at meetings, holding offices, chairing sessions, and reading papers), and current awards, grants, honors, etc.
- e. Participation and performance on faculty committees, as evidenced by faithful attendance and cooperative service on committees to which one is assigned and/or effective leadership in chairing committees.
- f. Reasonable cooperation with faculty and administration, as evidenced by participation in faculty meetings and conferences, compliance with regulations governing all faculty as set forth in the *Employee Handbook*, and a reasonable respect for professional ethics, courtesy, and cooperation as applied to relations with one's colleagues.
- g. Constructive participation in College life, as evidenced by availability to students, advising and chaperoning student organizations, campus lectures, performances, consultations, etc., and leadership and participation in campus symposia, conferences, etc.
- h. Constructive participation in community life, as evidenced by the sharing of professional expertise with community organizations (as speaker, counselor, etc.) or other activities that reflect upon the College's academic image.

### **Promotion-In-Rank for Librarians**

The promotion review procedures are the same as for any faculty member.

In making promotion decisions for librarians, the FTPC and the Provost will evaluate each candidate separately, using the Criteria for Retention for Librarians and the recommendations of the FTPC and the Provost will be equally weighted. The FTPC will solicit the following information for use in their deliberations:

- narrative from the candidate in support of his/her candidacy (The narrative should include an indication of how this candidate shows evidence of being a highly effective librarian, and evidence of how professional currency is maintained. In addition candidates seeking promotion to Full Librarian should emphasize a long-term professional plan of continuing scholarship and currency in librarianship.
- an updated job description, approved and recognized by the library department.
- an updated vitae.
- copies of all FPARs while in service at the present rank.
- copies of all annual reviews of the candidate from the library director.
- two letters of support solicited by the candidate from Catawba faculty and/or librarians (at any rank) i.e. solicited letters, to be sent directly to the Coordinator of FTPC.
- any letters submitted by Catawba faculty after being so invited via public notification of the names of all candidates for promotion (i.e., "unsolicited" letters) to be sent directly to the Coordinator of the FTPC.
- a letter submitted by the Library Director. The director shall in preparation of this letter, actively seek input from other librarians at the college, as well as any faculty members or staff with whom the librarian under review may have worked.
- copies of evaluations of committee performances by the committee chairs,
- any document relevant to any of the Criteria for Retention for Librarians for the rank in question,
- statements of professional participations,
- statements of extracurricular involvements with the College, and/or
- documents outlining additional professional work and/or honors.

## Evaluation of Librarians

Librarians will be evaluated along the following dimensions:

Librarianship (See: Retention Criteria)	33%
Director's evaluation	13%
Self-evaluation (from FPAR)	13%
Peer evaluation	7%
Professional Growth (See: Retention Criteria)	17%
Institutional Service (See: Retention Criteria)	17%

## Sanctions, Non-Reappointment and Dismissal

If the administration believes that the conduct of a faculty member justifies imposition of a minor sanction, such as a reprimand, it shall notify the faculty member of the basis of the proposed sanction and provide her/him with an opportunity to persuade the administration that the proposed sanction should not be imposed. A faculty member who believes that a minor sanction has been unjustly imposed, may, pursuant to the regulations governing grievance procedure, petition the Faculty Grievance Committee for such action as may be appropriate.

If the administration believes that the conduct of a faculty member, although not constituting adequate cause for dismissal, is sufficiently grave to justify imposition of a severe or major sanction, such as suspension from service for a stated period, the faculty member, upon notification of the sanction, may request a formal hearing by the Faculty Hearing Committee.

Notice of non-renewal, discontinuance or termination of a probationary or non-tenure-track faculty member's contract at the end of its term of employment at the College is given in writing in accordance with the following standards:

- a. Not later than March 1 of the first academic year of service if the appointment expires at the end of the year, or at least three months in advance of termination if a one-year appointment expires during an academic year.
- b. Not later than December 15 of the second academic year of service if the appointment expires at the end of that year, or at least six months in advance of termination if an initial two-year appointment expires during an academic year.
- c. At least twelve months before the expiration of an appointment after two or more years in the institution.
- d. The College is not required to provide reasons, written or oral, for non-reappointment of faculty. However, consultations should be undertaken with the affected member, and assistance in finding other positions should be offered.

The College may effect termination of a contract of appointment before the end of the specified term or of continuous appointment only for Adequate Cause. Adequate Cause may include: financial exigency; illness, disability or other restraint directly affecting the ability of the faculty member to continue to perform the duties expected under the contract; incompetence; moral turpitude; or for conduct by the faculty member which is dishonest, illegal, immoral, or otherwise indicating unfitness for continued service to the College. The faculty member claiming he/she has been terminated without sufficient cause shall have the burden of proving that assertion to the satisfaction of any reviewing committee, and to the Board of Trustees.

If an appointment is terminated before the end of the period of appointment because of financial exigency or because of discontinuance of a program of instruction, the released faculty member's place will not be filled by a replacement within a period of two years, unless the released faculty member has been offered reappointment and a reasonable time within which to accept or decline it.

Termination for Adequate Cause of a faculty member, prior to the expiration of a term of appointment, shall be made consistent with principles of academic due process. The Concept of "Academic Due Process" is similar to that afforded by due process in legal proceedings with the addition of those procedures characteristically academic, e.g., the participation of faculty members in such decisions.

The following specific regulations shall govern dismissal cases:

- a. Where termination of a faculty contract of appointment before the end of the specified term is based on bona fide financial exigency or discontinuance of a program or department of instruction, any affected faculty member claiming such termination arises out of interference with academic freedom shall be able to have the issues reviewed by the Faculty Hearing Committee, with ultimate review of all controverted issues by the Board of Trustees. In every case of financial exigency or discontinuance of a program or department of instruction, the faculty member concerned will be given notice and severance salary to be determined appropriate by the Provost, acceptance of which shall be deemed full and complete settlement between the College and the faculty member.
- b. Termination of a faculty contract of appointment before the end of the period of appointment for medical reasons will be based upon medical evidence showing the disability of the Faculty Member prevents his/her performance of the duties undertaken in his/her employment contract. The Provost's decision to terminate will be reached only after there has been appropriate consultation and the faculty member, the Department or Program Chair, and/or her/his representative has been informed of the basis of the proposed action, and has been afforded an opportunity to present his/her position and respond to evidence. Upon request by the faculty member, the Faculty Hearing Committee will review the evidence of the case regarding termination for medical reasons and make an official statement of specific recommendations to the

Board of Trustees through the President before a final decision is made by the Board. If the faculty member so requests, the evidence may be reviewed before a final determination is made by the Board of Trustees, upon the recommendation of the President of the College.

- c. Dismissal of a faculty member before the end of the specified contract term for Adequate Cause (and other than for financial exigency or illness, disability or other restraint directly affecting the ability of the faculty member to continue to perform the duties expected under the contract) will be preceded by discussions between the faculty member and appropriate administrative officers looking toward a mutual settlement.
- d. A dismissal or suspension for Adequate Cause will be preceded by formal notice to the individual dismissed, including a written specification of the factual basis for the dismissal. The individual concerned will have the right, if requested, to be heard before the elected Faculty Hearing Committee, which shall review the issues, hear the statement of the individual, and supporting evidence as offered and allowed, and render a recommendation to the Provost and President. Faculty members deeming themselves disqualified for bias or interest shall remove themselves from the case, either at the request of a party or on their own initiative. The Faculty Hearing Committee's recommendation shall be either to uphold the dismissal, or to overturn it, or as to how to deal with any period of suspension imposed in lieu of termination, within forty-eight hours of its hearing. The affected faculty member may appeal a ruling adverse to his/her appeal, directly to the Board of Trustees; the appeal must be made within fourteen calendar days of the decision from the Faculty Hearing Committee. In the absence of an appeal by the faculty member from the Faculty Hearing Committee to the Board of Trustees, or absent a timely recommendation by the Faculty Hearing Committee, the President shall promptly make a final decision in the matter, which decision will be final. If the faculty member has requested that the Board of Trustees hear the appeal finally, or a committee of the Board assigned by the Board to perform this duty, may consider and promptly rule upon the appeal in accordance with its own guidelines or procedures, and that determination shall be final. The Notice of Dismissal (or Suspension) shall be effective, according to its own terms, during any appeal process.

Further information on the process and procedures regarding dismissal is found within the Employee Handbook, "Faculty Hearing Committee" section.