

Faculty Handbook

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1. UNIVERSITY OVERVIEW

Founded in 1899, Northern Arizona University is a vibrant and innovative community committed to teaching as learning, research as innovation, and service as shared leadership.

1.1 NAU Strategic Plan

The mission, goals and values of the institution are outlined in the University's Strategic Plan which is accessible from Northern Arizona University's Strategic Planning web site.

1.2 Institutional Description

Classified by the Carnegie Foundation as a high research doctoral university, Northern Arizona University is a large, comprehensive, doctoral, high undergraduate, primarily residential university with a high level of research activity. The University enrolls over 25,000 undergraduate and graduate students who can earn their degrees on its Flagstaff campus, NAU-Yuma, through NAU-Extended Campuses and online. The University offers baccalaureate, masters, and doctoral degree programs in arts, sciences, and professions, including accredited professional degrees and many certification programs. More than 70 of these are delivered to students at 30+ sites located throughout the state and through Northern Arizona University's online campus.

1.3 University Organization

Northern Arizona University is governed by the Arizona Board of Regents which consists of the Governor of the State, the State Superintendent of Public Instruction, both ex-officio, and eight resident citizens of the state appointed by the Governor, by and with the consent of the Senate. This Board, acting under the constitution and laws of the State of Arizona, is the governing body of the University. For a listing of the Board's functions see A.R.S. 15-725.

The University President

As defined by the Arizona Board of Regents, the president shall mean the president of the appropriate university or the president's designated representative, and the Administrative director of the central staff. For an organizational chart, contact the President's Office.

President's Cabinet

The President's Cabinet serves in an advisory capacity to the president. The cabinet is composed of senior leadership from the academic and administrative units on campus. For a listing of Vice Presidents and other members of the Cabinet, refer to President's web site.

Extended Campuses

Under the direction of the Senior Vice President of Extended Campuses, the university delivers courses via 30+ locations around the state, primarily on the campuses of, and in partnership with community colleges, online and at the NAU-Yavapai campus.

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Academic Affairs

The Academic Affairs division is under the direction of the Provost and Vice President for Academic Affairs, the Chief Academic Officer of the university. The following Academic Officers report to the Provost:

- Vice Provost for Academic Affairs and Dean, University College
- Vice Provost for Academic Personnel
- Vice Provost for International Education
- Dean, Graduate College
- Dean, College of Arts and Letters
- Dean, The W. A. Franke College of Business
- Dean, College of Engineering, Forestry and Natural Sciences
- Executive Dean, College of Health and Human Services
- Dean, College of Social and Behavioral Sciences
- Dean, College of Education
- Dean and University Librarian

1.4 Committees & Councils

This section contains a partial list of institutional committees and councils.

Academic Standards Committee

This is a Faculty Senate Committee which recommends policy with respect to all general and special academic policies, standards, procedures, and scholastic regulations, and continuously re-evaluates such standards and policies to assure that appropriate academic standards prevail. The committee also hears and acts on requests from students regarding waiver of any university policies. The Academic Standards Committee recommends policy with respect to all general and special policies, standards, and procedures concerning admissions and scholastic regulations, and continuously re-evaluates such standards and policies to assure that high academic standards prevail.

Administrative Computing (Steering Committee for)

The steering committee reports to the president. It focuses on all aspects of administrative computing and information technology relating to NAU's student, employee, and financial administrative applications and systems.

Admissions Review Committee

This committee reviews case files of new students who do not meet the undergraduate admissions standards as established by the Arizona Board of Regents. The committee also makes recommendations regarding the collection of additional documents for admission decisions and then makes decisions regarding the admission status.

Animal Care and Use Committee

The Institutional Animal Care and Use Committee (IACUC) helps all researchers at the university comply with federal regulations that govern the use of animals in research or education, including the Animal Welfare Act (AWA), the United States Department of Agriculture (USDA) Policies, the Guide for the Care and Use of Laboratory Animals (NIH), and Occupational Safety and Health Administration and Environmental Protection Agency regulations. A main purpose of the IACUC committee is to ensure animals are only used humanely and investigators must describe everything the animal will experience in the protocol, as described in the federal laws and policies. The committee sets additional policies and operating procedures to address welfare concerns specific to the research programs on campus.

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Assessment (University)

This is a Faculty Senate committee which determines how the assessment of educational (student learning) outcomes can strengthen the University and enhance its accountability. The committee provides the University-wide perspective on student assessment as carried out in undergraduate and graduate degree programs delivered both on and off campus. The committee provides oversight, identifies key issues, develops recommendations, and develops policies with respect to institution-wide assessment of student learning. It also identifies gaps in assessment information; recommends changes in assessment processes; reviews the usefulness of assessment strategies, reporting strategies and feedback processes; and ensures that assessment data informs decision-making at NAU. The committee maintains close communications with the Faculty Senate, the Office of Academic Assessment, and other appropriate NAU committees, administrative bodies, and academic units.

Biosafety Committee (Institutional)

Research and instructional activities involving recombinant DNA molecules in any format, biological agents (viruses, bacteria, fungi, rickettsia, prions), acute toxins and transgenic animals must be reviewed and approved by the Northern Arizona University Institutional Biosafety Committee (IBC) in advance of initiation to insure compliance with federal guidelines promulgated by the National Institutes of Health (NIH), Centers for Disease Control and Prevention (CDC) and the Public Health Service. The Director of Biological Safety can provide guidance and is the executive secretary for the NAU IBC. The registration submission forms for the IBC are located on the Regulatory Compliance web site (see NAU index).

Campus Health Services Advisory Committee

The Campus Health Services Advisory Committee advises the staff of the CHS Medical Services on issues related to the providing of health care and illness prevention to the student, faculty and staff population.

Campus Safety Committee

The primary purpose of this committee is to review recommendations presented to administration and/or departments concerning safety and security hazards. The Campus Safety Committee formulates safety and security policies that complement the present and future needs of the University. This committee also reviews recent incidents/ accidents for root cause and provides recommendations to prevent future occurrences. The NAU Safety Policy is the responsibility of this committee which is then submitted to the president for approval.

Curriculum Committee (University)

This is a Faculty Senate committee which maintains standards, policies and procedures that will ensure that university undergraduate curriculum and all regulations pertaining thereto comply with the stated mission and goals of the university. The UCC coordinates all undergraduate curricula to assure academic integrity and to prevent unnecessary course proliferation. The UCC reviews, evaluates, and recommends to the provost, approval or disapproval of all new undergraduate courses, programs, and degrees, and proposed changes in existing courses, programs and degrees. New programs and major programmatic reviews are subject to the approval of the president and the Arizona Board of Regents.

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E-Learning Advisory Committee

This committee works with the e-Learning Center (ELC) to set policy and guidelines relating to the grants and programmatic activities sponsored by the ELC. The committee takes leadership in addressing campus issues of teaching and learning with technology, and with finding innovative ways of supporting faculty growth in this area.

Employee Benefits Committee (University)

The University Employee Benefits Committee is a permanent institutional committee charged to promote the general welfare of all university employees and retirees. This includes promoting, monitoring and reviewing all types of university benefits as well as investigating potential new ones.

Ethnic Diversity (Commission on)

The Commission on Ethnic Diversity is a university-wide committee which draws in knowledge of members committed to a multicultural diverse educational environment. The committee works to increase ethnic diversity among the student population, faculty, staff, and administration and to develop strategies to diversify the curriculum. Through unity and diversity the committee helps our campus create a better learning and working environment where we all share and learn from one another.

Faculty Grant Program (FGP) Committee (formerly, Intramural Grant Program)

This is a Faculty Senate committee which reviews proposals submitted by Faculty for Organized Research funding. This activity takes place during the winter break each year, and involves evaluation of proposals during an approximately one-month period. The final step in this review is a panel meeting where the committee discusses proposals and assists in making decisions on funding. The committee may be asked to provide input into research policy at NAU.

Faculty Grievance Committee

This is a Faculty Senate committee charged with reviewing allegations and requests for hearings to determine whether the matter is grievable and for hearing all grievances or appeals as outlined in the grievance hearing process (see the *Conditions of Faculty Service*, Appendix A, *Faculty Problem Resolution*).

Graduate Committee (University)

The University Graduate Committee is a Faculty Senate committee which is charged with establishing and maintaining standards, policies, and procedures to insure University graduate curricula and all policies pertaining to graduate education comply with the stated mission and goals of Northern Arizona University. The UGC accomplishes this purpose by: (a) articulating objectives for graduate study and establishing and maintaining proper graduate standards and policies for graduate programs and graduate assistants, consistent with university objectives; (b) coordinating all graduate programs and curricula to prevent undue course proliferation; (c) studying and recommending means for improving graduate programs; and considering new and revised graduate programs; (d) establishing and maintaining standards and policies in such matters as but not limited to admission to graduate study, admission to candidacy, examination requirements, transfer credits and approval of graduate courses, programs and degrees; (e) serving as the graduate curriculum committee for new courses, course changes and deletions, new programs and program revisions; and (f) representing the Dean of the Graduate College at dissertation defenses.

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Hearing Board (University)

The university Hearing Board is designed for student hearings related to student disciplinary sanctions of expulsion and /or suspension from the university. This committee convenes only after a student has formally requested a hearing following a decision of suspension and/or expulsion.

Intercollegiate Athletics Committee

This is a Faculty Senate committee charged to act in an advisory capacity to the director of Athletics on the operations of the Department of Athletics. The committee is ultimately responsible to the president of the university. For additional information, contact the Faculty Athletic Representative.

Liberal Studies Committee

This is a Faculty Senate committee charged to work with the Office of the Vice Provost for Academic Affairs to lead and manage the Liberal Studies Program. This program is to be carried out through a curriculum of studies required of all graduates of the University, and is designed to support the development of the essential knowledge and skills for engaged global citizenship in the 21st century. Specifically, the Liberal Studies Committee will establish, review, approve, and/or recommend to the appropriate body approval of the following:

- The mission and purpose of liberal studies at NAU
- The educational goals and objectives of the liberal studies programs
- The educational goals and objectives, and methods of assessment of the outcomes of the courses approved for the liberal studies curriculum
- Policies governing the standards for the liberal studies curriculum, recommendation of courses for inclusion, and approval of changes in the overall curriculum and/or courses in the liberal studies curriculum
- Assessment and improvement of student learning
- Strategic planning regarding the role and function of the Liberal Studies program at Northern Arizona University
- Faculty engagement and support for teaching Liberal Studies

Library Committee (University)

This is a Faculty Senate committee which:

1. Develops, recommends, and reviews policies within the framework of the curricular objectives of the University for the selection and purchase of library materials.
2. Represents the interests of the library, students, and faculty in consideration of library policies.
3. Studies and recommends means to optimize use of library resources.
4. Maintains a strong interface with library personnel.

Native Americans (Commission for)

The Commission is to consider, evaluate and analyze all matters pertaining to Native Americans at Northern Arizona University, establish goals and priorities for these matters, engage Native American faculty/staff/students on these matters, disseminate and share the information, and most importantly advise the president on these matters.

Parking Citation Appeals Board

The purpose of the appeals board is to provide a second level of review for those members of the university community who have made an unsuccessful appeal of parking citation to the Parking Appeals Officer.

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Parking and Shuttle Advisory Committee

The charge of the Parking and Shuttle Advisory Committee is to assess, address and recommend current and future campus parking and shuttle needs or concerns. The Advisory committee makes provisions to assure user input in the development and direction of the campus parking and shuttle system. The Committee promotes a practical and cost-effective approach compatible with the philosophy, goals and objectives of the university and those which best serve the interest of the campus community.

Provost's Academic Computing Advisory Committee

The Provost's Academic Computing Advisory Council (PACAC) is a permanent, standing university-level council, with rotating and permanent membership that can advise the President, Provost, Chief Information Technology Officer, the faculty, and the student body of the status of academic computing and information technology issues at NAU.

Radiation Safety Committee

The committee ensures that ionizing and non-ionizing radiation producing materials and equipment are properly registered and used in a manner that minimizes radiation hazards and that the research and teaching activities involving the use of radiation comply with state, federal, and university standards.

Residence Life Advisory Committee

The Residence Life Advisory Council exists as a formal sounding board for current issues, major policy review and budgetary review and recommendation for the Office of Residence Life. The council is advisory in nature and the responsibility for final decisions and implementation rests with administration.

The council provides input and a formal recommendation regarding the locally funded rate structure for single student and family housing for the following academic year. This includes reviewing plans for renovation of existing facilities, as well as other facility improvements. The council also provides guidance for major policy and procedural changes impacting service to students, and provides feedback regarding committee members' experiences and perceptions of the service and image provided.

Scholarships Committee

This is a Faculty Senate committee responsible for the annual awarding of scholarships from 30 scholarship accounts. They review donor criteria, student scholarship application forms, academic transcripts and letters of recommendation. They also function in an advisory capacity to upper-level administration in the formulation and implementation of policies affecting academic scholarships at NAU.

Status of Women (Commission on the)

The Commission acts as a clearinghouse for women's issues on campus and provides informed recommendations to the president in order to ensure a campus environment in which the full participation of women is supported and the contributions of women are valued.

University Residency Appeals Committee

Students who are classified as nonresident for tuition purposes by the university classification officer have the right to appeal that decision and to request a review by the University Residency Appeals Committee. The committee meets to review the existing student residency file, consider testimony from the student and/or an

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advisor of the student's choice, and review new information or documentation provided and to render a decision, which is final.

1.5 Academic Affairs

The Academic Affairs division of the university consists of the following seven academic colleges, a Graduate College and Cline Library:

Cline Library
College of Arts & Letters
The W.A. Franke College of Business
College of Education
College of Engineering, Forestry and Natural Sciences
College of Health & Human Services
College of Social & Behavioral Sciences
Graduate College
University College

The following subsections describe the administrative offices that report to the Provost and Vice President for Academic Affairs.

1.5.1 The Office of the Vice Provost for Academic Personnel

The Vice Provost for Academic Personnel provides oversight for all policies and procedures related to faculty and academic professionals, as well as the Faculty Development Program and the Faculty Ombuds Program. New Faculty/Academic Professionals should refer to the Human Resources web site for new hire checklists and important information concerning payroll, benefits and the steps required to transition to the university.

1.5.2 The Office of the Vice Provost for the Center for International Education

The Vice Provost for International Education directs the Center for International Education and provides strategic leadership for the realization of the university's commitments around campus and curriculum internationalization. The Center provides direct support to all faculty who wish to pursue international teaching and research opportunities. The Center also works with departments as they seek to implement the Global Learning Initiative in their respective majors.

1.5.3 The Office of the Vice Provost for Academic Affairs and Dean, University College

The Office of the Vice Provost for Academic Affairs and Dean, University College provides support for academic programs throughout the university. The vice provost oversees curriculum, academic program review, institutional accreditation, learning design and assessment, eLearning, course schedule planning, summer sessions, articulation & transfer, registrar, and commencement. The office is also home to the University College, select academic programs, including the University Honors Program, Liberal Studies Program, Professional Education Unit, and ROTC. Undergraduate education is a special focus of the office, which sponsors programs and initiatives designed to help students succeed and achieve their goals.

The division of Undergraduate Studies brings together curricular, co-curricular and academic support programs to promote student achievement and graduation. Undergraduate Studies programs include First Year Seminar, First Year Learning Initiative, Gateway Student Success Center, University Advisement, Academic Transition Programs, Class Linked Academic Support,

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Academic Coaching, Academic and co-curricular programs, advising and career planning, course linked academic support, and ePlanning. These programs, interdisciplinary initiatives, together with college programs, create a challenging and supportive learning environment in which all students can flourish.

1.5.3.1 *University Honors Program*

The University Honors Program prepares academically motivated students for a global and changing society by cultivating creative problem solving abilities and communication skills through a rigorous, personalized program of study. The Honors Program community of scholars values excellence, inquiry, innovation, fellowship, and distinction by promoting:

- The highest standards of academic integrity and excellence across campus.
- Meaningful, innovative, interdisciplinary connections.
- Leadership, research, community engagement, service learning, creative endeavors, international education, and the exploration of diversity.
- A stimulating residential environment.
- The integration of academics, learning communities, mentoring, and extra-curricular learning.

1.6 **NAU-Extended Campuses**

The Extended Campuses of Northern Arizona University serves more than 30 communities in Arizona with online and in-person education and a growing number of joint admission agreements with community colleges in Maricopa, Yavapai, Mohave, Gila and La Paz Counties. NAU has been a leader in distance learning delivery since the 1970s. Graduate degrees and undergraduate degrees are available to students through online, hybrid, and in-person delivery formats. About 35 percent of NAU students earn their degrees online or in local communities in Arizona.

1.6.1 **NAU-Yuma Branch Campus**

Recognition of the educational needs of the Lower Colorado River Region prompted NAU to enter into an agreement with Arizona Western College in 1988 to create NAU-Yuma. This program made it possible for qualified students to receive select undergraduate or graduate degrees on site in Yuma from NAU. Recognizing the success of this partnership, the Arizona Board of Regents unanimously approved designation of NAU branch campus status to the Yuma campus in 2006. The designation allows NAU to build programming and resources on the Yuma campus in response to needs of the growing local area communities. NAU-Yuma administers more than 10 degree programs available to Yuma and statewide students.

1.6.2 **NAU-Yavapai**

NAU-Yavapai is a unique model in higher education in Arizona. With bachelor's degrees and certificates in academic programs not otherwise available through NAU, and in partnership with Yavapai College and the Town of Prescott Valley, NAU-Yavapai offers an affordable tuition, small class sizes, and reduced time of completion to the degree. Courses are offered on a year-round calendar and in a format blending classroom instruction with online and applied learning components.

1.7 Faculty Organization

As defined by the Conditions of Faculty Service (COFS) the Faculty shall consist of employees of the University who hold one of the following ranks (ref. COFS, Section 1.2):

- Professor
- Associate professor
- Assistant professor
- Lecturer
- Senior lecturer
- Principal lecturer
- Assistant clinical professor
- Associate clinical professor
- Clinical professor
- Assistant professor of practice
- Associate professor of practice
- Professor of practice
- Research professor
- Assistant research professor
- Associate research professor
- Instructor
- Academic professionals, full-time librarians
- Part-time faculty teaching a minimum of 12 credit hours of course work in each of the three preceding years, clinical and practice faculty meeting these ranks or teaching requirements
- Adjunct Affiliates

1.7.1 Role of the Faculty

As the most durable and stable of the constituencies immediately involved with the operation of the institution, the Faculty is the primary trustee of academic freedom and other traditional values of the University. The power to initiate, review, formulate, recommend enactment of, and oversee policy and procedures in the areas identified in the Constitution of the Faculty, Section 1.2.1 rests with the Faculty. These powers and duties must be exercised in accordance with the laws and constitutions of the United States and Arizona, the Arizona Board of Regents, and the policies of Northern Arizona University.

1.7.2 Faculty Senate

Purpose: The General Faculty shall exercise its powers through the Faculty Senate of the University, hereinafter referred to as “the Senate.” The Senate is the highest legislative, representative assembly of the Faculty and is subject to its review.

Membership. The Senate consists of members elected from and by the Faculty and the Officers of the Faculty Senate as specified in the *Constitution of the Faculty*, Section 2.1.

Relationship to the Faculty. The Senate provides a forum for free discussion, decision-making, and independent statements of Faculty concerns and judgment. It is also the main vehicle through which the Faculty discharges its role in shared governance at the University, within the scope of its authority as established by Arizona law and the policies of the Arizona Board of Regents. Whenever the Senate is acting within its province as herein designated, its actions shall be effective without further approval by the Faculty. Its actions shall be subject to

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appeal and review by the Faculty in accordance with the *Constitution of the Faculty*, Section 1.6 and the relevant sections of the Bylaws.

Consideration of Issues. The General Faculty shall consider such policy matters as are brought before it by the Senate. Faculty may bring issues of concern to the Senate through their representatives or by a petition signed by twenty-five (25) faculty members as defined in the *Constitution of the Faculty*, Section 4.2.

Role of the Faculty Senate: The Faculty Senate normally functions as the forum for faculty deliberation and consent in the introduction, approval, or revision of all academic policy in any matter concerning the governance structures it sponsors directly, in the form of Faculty Senate committees or in the university committees it oversees, including those defined by the Conditions of Faculty Service.

Governance Responsibilities. The Faculty Senate must approve any new policies, changes, amendments, or additions to University governance structures or committees described in the Faculty Handbook in any area affecting:

- policy where the faculty exercise primary responsibility, including undergraduate and graduate curriculum, program design or academic and research policies;
- policy where faculty exercise shared governance in matters related to university mission or internal governance; and
- policy where faculty exercise shared governance, including hiring, promotion, annual review, retention, grievance, long-range planning and budgeting, or University organization.

To these ends, the Senate:

- formulates, recommends, and oversees policies and procedures related to faculty rights and responsibilities;
- carries out binding votes on issues related to curriculum and climate put to it by faculty committees;
- establishes appropriate standing committees and ad hoc committees as necessary to perform its functions in the broad areas enumerated in the *Constitution of the Faculty*, Section 3.2.1;
- advises the administration and the Arizona Board of Regents to provide them with its collective wisdom and experience;
- promotes communication between faculty, administration, staff, and students of the University.

Procedures. All procedural decisions, guidelines and clarifying statements necessary for the Senate's internal organization and functions shall be described in the "Bylaws of the Faculty" (From the Constitution of the Faculty).

2. SERVICES AND SUPPORT UNITS

This section contains information on university services and support units which may be of interest to faculty.

2.1 Academic Assessment, Office of (OAA)

The Office of Academic Assessment (OAA) at Northern Arizona University seeks to support quality student learning and to foster excellence in educational practices by establishing and maintaining a culture of assessment and

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improvement at the course, program, and institutional levels. The basic premise of OAA is, "Assessment for improving student learning."

2.2 Articulation with Community Colleges

NAU is part of the statewide Arizona Transfer System which includes all state-supported universities and community colleges. AZ Transfer is committed to promoting seamless transfer for students from community colleges to the state-supported universities. The system is directed by the Academic Program Articulation Steering Committee (APASC). AZ Transfer supports a Course Equivalency Guide (CEG) and a Shared Unique (course) Number (SUN) system to aid students in determining course equivalencies among Arizona community colleges and universities.

2.3 Affirmative Action

As a federal contractor, the university has affirmative action programs for women, minorities, individuals with disabilities and certain veterans. The Office of Affirmative Action and Equal Opportunity (AA/EO) provides services and training to the university community in the areas of affirmative action planning and reporting, the faculty and academic professional hiring process, harassment and discrimination prevention and complaint investigation in accordance with the Safe Working and Learning Environment Policy (SWALE), university compliance with laws relating to individuals with disabilities and veterans, accessibility issues, and disability and workplace accommodations. The office provides informal and formal consultations, guidance and complaint resolution options. AA/EO also provides training and education to the NAU community to enhance appreciation of the benefits of diversity, and supports the university's mission and goals in this regard.

The Director of AA/EO also serves as the institution's designated compliance officer for civil rights and affirmative action, ADA/504 Coordinator and Title IX Coordinator. For more information, refer to the Affirmative Action website.

2.4 Bookstore

The bookstore offers a wide variety of products and services including a large collection of NAU faculty published works and the only authorized Apple® sales and service center in northern Arizona. The following benefits and services are available to NAU employees with an NAU ID card:

- Discounts on regularly priced general books and textbooks
- Discounts on clothing, gifts, and supplies
- Publisher contact information for desk copy assistance to faculty or departments
- Special orders for customized products ranging from pencils to pennants (call and ask for quotes or refer to the web page listed below)
- Academically priced software and computer products
- Assistance with literary events through the Tradebook department
- Textbook adoptions (see schedule below) are available through the online eDoption system (see web site listed below)
- Course packs - compiling and publishing of customized course materials can be arranged through the text manager

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Textbook Adoptions

Faculty members are expected to submit book orders with the NAU bookstore to meet the following deadlines for each session:

Summer	March 15 th
Fall	April 15 th
Winter and Spring	October 15 th

NOTE: Adoptions are needed for all online or Mountain Campus classes.

Stay up to date on bookstore news and events through Facebook.

2.5 Campus Recreation Services

The main office for Campus Recreation Services is located in the Health and Learning Center, Building 25, on the northeast side of campus on South San Francisco Street. Campus Recreation Services includes the Recreation Center, the Wall Aquatic Center, Intramural and Club Sports, NAU Outdoors, Summer Youth Programs, and the South Fields Complex. These facilities and programs offer a variety of recreational opportunities for NAU students, alumni, faculty, and staff members.

The Recreation Center offers a newly renovated strength training area; a variety of new cardio-fitness equipment including a new multi-projection cardio theater; an indoor 1/8 mile jogging track; a 40' tall simulated rock climbing wall; three separate gymnasiums including space for activities such as basketball, volleyball, indoor soccer, and badminton; six glass back wall racquetball courts, two group exercise suites; locker rooms, and conference rooms for meetings, classes, seminars or activities.

The Wall Aquatic Center offers an Olympic-size pool, complete with eight 50-meter lanes, two 1-meter and two 3-meter diving boards, underwater viewing and filming windows, and state-of-the-art aquatics technology. There is also an instruction/therapy shallow area, a weight room and classroom. Swimming and scuba diving classes are also available at the Aquatic Center.

2.6 Course-Linked Academic Support

The Course-Linked Academic Support program promotes coordinated efforts among academic units, faculty and students by linking academic support programs to courses to increase student success through supplemental instruction (SI).

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The SI model is an internationally-used model of academic support that has demonstrated success for over thirty years. Students that participate in SI earn higher grades and are less likely to earn a D, F or W in a course, and have higher rates of retention. Supplemental instruction deploys undergraduate students with prior success in the targeted courses as SI Leaders, who facilitate group learning activities. SI Leaders undergo training in providing content knowledge and study skills to other students in the course, and they attend all

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formal course presentations by the professor. Leaders also meet with the professor in charge of the course on a weekly basis to discuss strategies for student support. SI sessions are provided to students on a voluntary basis 3-4 times a week.

Other course linked academic support programs are offered in mathematics (MAP- Math Achievement Program) and other areas with distinctive needs. Course-Linked Academic Support collaborates with faculty to develop effective models of academic support and identify resources to support these efforts. Faculty are encouraged to bring suggestions for increasing student success to the Director of Course-Linked Academic Support.

2.7 Cline Library

In an age characterized by rapid changes in scholarly communications, the Cline Library welcomes the challenge of meeting the teaching, learning, and research needs of the students, faculty and staff.

Cline Library staff can assist with electronic reserves for print or media resources, identify resources for course integration or faculty research, and partner with faculty to develop research assignments and assessments aligned with course learning outcomes. The library staff also collaborates with faculty on development of library-related elements of grant proposals and other activities that support scholarly publishing efforts.

The Library's website is a gateway to resources and services including e-books, e-journals, media, print collections, document delivery and the Colorado Plateau Digital Archives.

The library building offers wireless connectivity, assistive technologies, multimedia production computers, and media screening rooms. The Library also houses a 400 seat Assembly Hall, and the Scholar's Corner Café.

2.8 Center for International Education (CIE)

The Center for International Education is charged with providing leadership in the development and execution of the university's strategic plan for the internationalization of the campus and the curriculum. In this regard, the CIE provides direct support to colleges, schools, departments and other university programs in strengthening the academic infrastructure for international education, in supporting faculty development opportunities through international teaching and research and by developing and nurturing relationships with partner universities and organizations overseas.

The Center provides services to international students and visiting scholars, manages the recruitment and admission of international students, and provides extensive support to NAU students seeking study abroad opportunities. The Center for International Education sees its mission as working to prepare NAU graduates for global citizenship.

2.9 Dining Services

Dining Services provides a variety of delicious meal options. The variety of services provides quality food, excellent customer service, and a wide range of offerings that will satisfy the palate and meet any budget. From block meal plans to Dining Dollar accounts that allow even more flexibility, Dining Services has the perfect options.

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The Union Station and Eatery encompasses six restaurants increasing the made-to-order options. One such format is the Wild Mushroom which offers a full menu of vegetarian and vegan choices.

Campus Dining offers:

- Diner Card program for faculty and staff
- Flexibility – full meals, snacks or just a latte
- No need to carry cash – just use the ID card
- 3-tier catering program featuring student organizational pickup
- Casual Catering and Classic Catering to meet every budget and need. From simple parties and bountiful buffets, to elaborate dinners and elegant events.

2.10 Extended Campuses

Many university faculty members are appointed to one of the Extended Campuses locations. These faculty members are appointed to academic departments on the Flagstaff Mountain Campus or the Yuma Branch Campus and have teaching assignments at Extended Campus locations and online.

The faculty advise prospective and current students, recruit, mentor and evaluate NAU part-time instructors, collaborate with local community college faculty and academic leaders to develop degree programs and teach local classes.

2.11 E-Learning Center

The e-learning Center (ELC) is dedicated to assisting faculty to effectively use information technology to transform teaching and learning. The e-Learning mission is to engage all faculty and to support teaching and learning activities mediated through technology. Support and assistance is available for all faculty (full-time and part-time) and all courses (e.g., online, hybrid, or face-to-face instruction). As an academic support unit, ELC collaborates with faculty to research innovative applications of advanced technology in the learning process coupled with assessment of the actual learning students experience.

2.12 Faculty Development Program

The Faculty Development Program (FDP) at Northern Arizona University is a multifaceted resource and networking program for faculty. The program supports innovation in teaching aimed at student success and supports interdisciplinary collaboration and collegiality among faculty seeking to strengthen their teaching. The FDP offers opportunities for professional development in teaching and in the scholarship of teaching and learning. It works with faculty to advance effective teaching and learning initiatives through mentoring programs and orientation programs for new faculty. In addition, the program fosters dialogue on effective teaching for successful student learning and showcases faculty expertise in and contributions to a learning-centered campus.

2.13 Financial Aid

Northern Arizona University is committed to helping students and their families bridge the gap between their personal resources and the cost of attending school. The Office of Financial Aid provides financial assistance resources to as many students as possible to help make their academic endeavors successful; many of whom might otherwise be unable to attend the University.

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Faculty and staff are eligible for reduced tuition and must complete the Educational Aid Registration Permit (EARP) to qualify. The Educational Aid Registration Permit (EARP) is used for reduced tuition at NAU, ASU, and the U of A. Only eligible employees, the employee's spouse, and the employee's dependent children qualify for this benefit.

2.14 Grant and Contract Services

NAU's pre-award and non-financial post-award research endeavors are supported by the Office of Grant and Contract Services (OGCS), which facilitates sponsored projects and other programs between the University community and external sponsors. OGCS is responsible for assisting principal investigators in identifying and responding to funding opportunities; reviewing and assuring compliance with sponsor and university requirements (including fiscal and non-fiscal compliance); submitting applications and proposals on behalf of the University; supporting large interdisciplinary, multidisciplinary and/or multi-institutional collaborations; interpreting the regulations of state and federal agencies and private sponsors; and, clarifying University policies and procedures for faculty and sponsors. OGCS is also responsible for accepting awards and has the responsibility to negotiate awards that protect the rights of faculty, staff, and students to use, publish and otherwise disseminate the results of their creative activities, and that comply with university and sponsor laws, regulations, and policies, including those of the state and federal government. Post-award financial accounting services are provided by Sponsored Projects Services.

2.15 Health and Wellness Services

The following university units provide health and wellness services that are described further in the sections that follow:

- Clinical Exercise and Research Facility
- Dental Hygiene
- Employee Assistance and Wellness Office
- Campus Health Services
- Health Psychology Center
- Speech and Hearing Clinic

2.15.1 Dental Hygiene

The NAU Dental Hygiene Clinic provides comprehensive dental hygiene and preventive dental services for NAU faculty, employees, students, and the public. Students perform services such as x-rays, thorough cleanings and non-surgical periodontal treatment, exams, sealants and fluoride applications. Students are supervised by licensed dental hygiene and dental faculty. The fees for services are lower than customary dental services. The NAU Dental Hygiene Clinic is open Monday through Thursday with evening appointments.

2.15.2 Employee Assistance and Wellness Office

The Employee Assistance and Wellness (EAW) office is designed to assist faculty, staff, and their family members with personal and professional issues, life and work balance, and to enhance overall health and wellness. EAW services include: short-term counseling, consultation, conflict management, critical response services, referral information, customized workshops for departments and groups, the Wellness Workshop Series, and the Wellness at Work Health Screenings and Flu Vaccine Program. EAW services are

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confidential. Employees and their family members can make appointments directly.

2.15.3 Campus Health Services

Campus Health Services (CHS) is located in building #25 and is the on-campus health center. CHS is an outpatient health center staffed by physicians, nurse practitioners, health educators and other health care professionals. All students who have paid the semester health fee are eligible to obtain health care at Campus Health Services. Faculty and staff may also obtain health care services through CHS. The health center offers care for on-going health problems and same-day service for acute illnesses or injuries, and provides services for healthy lifestyle education and promotion. Lab, x-ray, and pharmacy services are available on site. There are fees for services rendered. Insurance is not required to use the health center, however Campus Health Services offers an optional student insurance plan and they accept Blue Cross/Blue Shield insurance plans for faculty and staff. International students are required to show proof of insurance.

CHS patients may be referred to specialists in the community for consultation when a health center physician considers it advisable. Fees for these services are the responsibility of the patient.

Campus Health Services does not give medical excuses for absence from work or class. Faculty members and supervisors should not ask for, or expect Campus Health Services to provide documentation of health problems.

2.15.4 Health Psychology Center

The Health Psychology Center provides psychological services for the prevention and treatment of health-related problems to NAU students, faculty, and staff. Help is available for stress management, weight loss, headaches, pain, PMS, smoking, and a variety of other health-related problems. Service is provided by graduate students in the Applied Health Psychology Master's program, supervised by licensed psychologists. There is a minimal fee for students and a sliding fee scale for others.

2.15.5 Speech and Hearing Clinic

The Speech and Hearing Clinic provides comprehensive diagnostic and treatment services for any type of communication or hearing impairment. Hearing aids are available for sale as part of the comprehensive services offered. These services are offered to all NAU students, faculty, staff and family members. A sliding scale fee is available upon request for those financially eligible. The clinic accepts a number of insurance plans. Appointments can be made by contacting the clinic office.

2.16 Information Technology Services (ITS)

Information Technology Services (ITS) is responsible for managing the University telephone, computer, and data network infrastructure. Services include telephone, voice mail, email, Internet access, and data networking for NAU faculty. All campus buildings are fully wired for Internet access and wireless is available in most academic and administrative buildings. The ITS web site at describes services provided (such as phone support or software downloads). Faculty should visit this site and click on the link titled "Faculty" and then choose "Getting Started" to become familiar with the core services most faculty use during their careers at NAU.

2.17 Institutional Effectiveness

The Institutional Effectiveness (IE) unit includes the office of Planning and Institutional Research (PAIR) and the University Budget Office. IE is responsible for coordination of strategic planning, strategic budgeting, and university accountability reporting. The offices provide data, analyses, and projections for planning and decision-making; coordinate the design, implementation, and analysis of major institutional studies, report official data for mandated and other external reports; and assist other offices in obtaining and analyzing information. IE manages the overall University budget, oversees the contract issuance process and faculty payroll processing, and works with other jurisdictional areas to develop, manage, and strategically use University resources.

2.18 Lumberjack's Online University Information Environment (LOUIE)

The Lumberjack's Online University Information Environment (LOUIE) is the administrative transactional system used to process student, faculty and staff information. Students, faculty and staff depend on this system for tasks ranging from enrolling in classes and recording grades to employee timekeeping and receiving compensation.

The LOUIE system is built upon the Oracle/PeopleSoft Human Resources and Student Administration applications. Oracle/PeopleSoft provides a suite of software specifically designed for the changing needs of higher education. In order to access the faculty center functions in the LOUIE system, faculty must successfully complete FERPA training. The functionality afforded by Oracle/PeopleSoft allows the following features:

From the Student Center, students can:

- view class schedules, check enrollment appointments, and enroll or change enrollment in classes.
- request transcripts and view course and grade history.
- update personal information, including address and phone numbers and privacy (FERPA) settings.
- make online credit card and eCheck payments.
- view financial aid details, including the cost of attendance, expected family contribution and award amounts.
- run a Degree Progress Report.
- review holds and a to-do list.

From the Faculty Center, faculty members can:

- see a complete calendar of their classes.
- view a list of students who are enrolled for a class, plus those who have dropped or withdrawn.
- send email to one student, a select group or all students in a class - with just one click.
- access class information, such as start and end date, days, times and location.
- enter mid-term and final grades.
- access advisement reports.

From the Employee Self Service, employees can:

- update personal information such as address and phone numbers.
- view paycheck, address leave balances and tax information.

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- view and update benefits information, dependents and beneficiaries.
- make online credit card and eCheck payments.

LOUIE Hours:

- The LOUIE system is generally available 24 hours per day, seven days per week, with the exception of Sunday mornings from 4 a.m. to noon.
- Since LOUIE is a "live" and real-time system, it cannot be available 100% of the time due to the periodic maintenance needs of the many computer system components that LOUIE relies upon.
- Information about additional or unexpected outages is provided on the LOUIE Online homepage and via NAU's portal, MyNAU, IT Systems Status channel.

2.19 Ombuds Program

The Faculty Ombuds Program provides NAU faculty with voluntary, informal, neutral, confidential, third-party assistance in resolving university-related issues, concerns, or conflicts. The role of the faculty ombuds includes listening, supporting the generation of viable options, facilitating dialogue among parties who request it, and promoting the development of effective conflict resolution/management skills. For additional information, contact the Faculty Ombuds Office. This service is available during the academic year.

2.20 Parking and Shuttle Services

Northern Arizona University Parking Services is responsible for the enforcement of parking regulations adopted by the University Parking and Traffic Advisory Committee (PTAC) under the authority granted by the Arizona Board of Regents. These regulations are imposed for the safe movement and parking of all vehicles and non-pedestrian devices on campus.

Every member of the faculty and staff who operates or parks their motor vehicle on university property must register the vehicle, in addition to securing and displaying on the vehicle a current NAU parking permit for a designated parking area. Registration must occur before a vehicle may be parked in a university employee parking area. The university issues color-coded parking permits on the basis of classification of the registrant. The color of the parking permit indicates the area in which the vehicle may be parked. A permit does not ensure the availability of parking space but grants the privilege of parking in a specified area when space is available.

Vehicle registration fees are dependent upon the date of purchase. Permits expire on August 15. Permits and a complete brochure of the parking and traffic regulations of NAU are available at Parking Services.

2.21 Police, University

The University Police operate as a full service university police department with the same responsibility and authority as a municipal, county or state law enforcement agency. While responding to and preventing crime, and enforcing the laws are essential to providing a safe working, learning and living environment, policing is as much about education as it is enforcement. The NAUPD offers a variety of programs that support their dedication to working closely with our community. Services provided by the University Police department include:

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- Emergencies – dial 523-3000 or 911. Another means of direct emergency contact to police is through the blue light phone system. These easily identifiable phones (Blue light above a yellow call box) are strategically located at more than 72 sites across campus, as well as at all main residence hall entrances. Pushing the button on the phone immediately connects the caller to the NAU PD emergency dispatcher. Additionally all elevators also have emergency phones.
- Safety Escort – 928-523-3611
- Fingerprinting
- Lost and Found
- Personal Property Identification Tools
- Temporary Parking permits when Parking Services is closed
- Public Safety and Crime Prevention Programs
- Copies of Reports

2.22 Postal Services

Faculty and staff are provided with on-campus mail service through the NAU Postal Services located in the basement of the Bookstore Building #35. Visit their web site to review policy/procedures, and information on express mail tracking, zip code lookup service and automation guidelines.

2.23 Public Affairs, Office of

"Getting the word out" is a phrase heard often in the Office of Public Affairs, where the staff works to advance Northern Arizona University's mission and vision and to promote the accomplishments of students, faculty and staff.

The office staff work with the media and NAU departments to send out press releases, participate in crisis communication, provide public information, answer questions, arrange press conferences, find experts and many other functions related to mass communication.

Office staff is available 24/7 for emergencies and is readily available to anyone seeking help with getting the word out.

2.24 Research, Office of

The Office of the Vice President for Research provides administrative and financial support for the research and graduate education missions of Northern Arizona University. Research efforts supported by NSF, NIH, and other agencies, academic scholarship in the humanities and social sciences, performance and exhibition scholarship in the fine arts, and professional inquiry in the education and clinical health fields reflect Northern Arizona University's pursuit of knowledge, discovery, and aesthetic expression and dedication to the advancement of knowledge and learning in all its forms.

2.25 Regulatory Compliance, Office of

The Office of Regulatory Compliance (ORC) is responsible for managing NAU's chemical, radiological, biological, environmental and loss prevention programs. ORC is a resource for safety programs and manuals, group training (OSHA required training), hazard evaluation, compliance assessment and hazardous materials shipping. ORC staff can provide consultation in areas of safety and industrial hygiene, including, but not limited to, biological safety, bloodborne pathogens, recombinant DNA, ergonomics, indoor air quality, lab safety, radiation, chemical safety, asbestos, accident prevention, respiratory protection,

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hearing conservation, hazardous and biological waste, import/export controls, dangerous goods shipping and environmental programs.

2.26 Student Services

Several services are available across campus to assist faculty and staff in making referrals for students who need assistance beyond the classroom. The following sections describe services available to assist students during their tenure at NAU.

2.26.1 Counseling Services

Counseling Services provides opportunities for students to achieve psychological growth, emotional well-being, and learning potential. This is accomplished through short-term psychological counseling, mental-health and substance-abuse educational programming, emergency interventions, consultation, and referral services. The success of Counseling Services often relies on consultation with faculty and staff who are concerned about specific students.

Counseling Services offers individual, couple, and small-group counseling as opportunities to address such issues as adjustment to college, relationship concerns, depression, anxiety, stress and time management, and other personal and psychological concerns. For more information, including how students can access services, the costs for services and location, contact Counseling Services. Consultations and presentations for faculty and departments are also available and at no cost.

2.26.2 Disability Resources

Section 504 of the Rehabilitation Act and the Americans with Disabilities Act requires that all NAU programs, services and facilities be accessible to individuals with disabilities, except where the action necessary to achieve accessibility would result in a fundamental alteration of the program or service or would impose an undue burden. Northern Arizona University is proactive in its dealings with students who have disabilities.

Services are available for all NAU students who provide the required documentation and meet the eligibility standards set by Disability Resources in accordance with Section 504 and the A.D.A as amended. Services are designed to provide access to all programs, services and facilities in the most integrated setting appropriate to the needs of the qualified student with a disability. Accommodations are established on an individual basis, and are tailored to the needs of each student.

By law, accommodations can include a variety of adaptations. Most classroom buildings are now accessible, as are residence halls and apartments. Administration buildings and offices are either accessible or other arrangements are made to accommodate the needs of students with disabilities. Educational programmatic access may involve accommodations such as relocating a class, tape recording lectures, provision of a sign language interpreter or a real-time captioner, special testing arrangements such as extended time or a distraction reduced environment, as well as cooperating with Disability Resources to provide accommodations appropriate to the specific needs of students with disabilities as determined by Disability Resources.

An individual with a disability is an individual with a documented impairment that substantially limits one or more of that individual's major life activities. Recognized disabilities include, but are not limited to, mobility impairments,

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deafness, hard of hearing, blindness, visual impairments, learning disabilities, chronic medical conditions, and psychological disorders.

A student served through Disability Resources may qualify for the Attendance Accommodation policy which can be accessed from their web site.

2.26.3 Gateway Student Success Center

The Gateway Student Success Center offers integrated academic and career advising in a setting which encourages individuals to follow passion, realize potential, and pursue lives of purpose. All freshmen are advised in the Gateway Student Success Center during their first two terms of enrollment. After completing two full-terms, students receive advisement in their major departments. Students still deciding on a major are advised in the Gateway until they declare a major.

Gateway advisors assist students in developing a clear understanding of degree requirements and provide specific information about recommended first year courses, as well as information about support services and other campus resources. Transfer students are advised in the Gateway until they have completed 29 or more units. Students who transfer more than 29 units can meet with a Gateway advisor to receive a campus overview but detailed assistance with transfer credits, course recommendations, and enrollment will be handled by an advisor in the college of their major.

Academic and career advisors in the Gateway help students understand the relationship that exists between academic preparation, experiential learning, and the world of work. Career counseling and employment coaching are available in the Gateway for all students at any point in their academic process. Career decision making begins with a clear understanding of an individual's values, abilities, and interests. The Gateway offers a variety of activities to assist with the career decision making process, for example:

- Self-assessment programs
- Career and academic exploration
- Investigation and decision-making strategies
- Networking skills to develop collaborative partnerships
- Employment resources
- Resume and cover letter assistance
- Job search strategies
- Mock interviews
- Gateways on-line job recruitment service

Biomedical (pre-med) advising is housed in the Gateway. Students planning to pursue graduate programs in biomedical fields such as dental, medical or veterinary sciences can receive information and assistance related to preparation and application processes.

Students can network with prospective employers and graduate school representatives through events such as the Career and Graduate School Fair each fall and spring semester, the Education Interview Festival in the spring semester and employer campus visits.

2.26.4 Student Learning Centers

NAU provides higher level learning skills development through the Student Learning Centers (SLC) on north and south campus. Services include individual peer tutoring in lower division classes, drop-in tutoring in the freshman residence halls, drop-in Math Lab, online tutoring, tutor-led study groups, Supplemental Instruction (SI) sessions and study skills instruction through individual appointments and workshops. Tutors are carefully screened, selected, trained, and evaluated on a regular basis and are certified through the College Reading and Learning Association. Also available at both locations is an instructional computer lab containing Macintosh and IBM PC computers. Software includes word processing, spreadsheet, database, and graphics packages.

Academic Success Workshops (study skills, time management, etc.) are scheduled weekly and schedules are posted on the SLC website. Faculty members are encouraged to visit the Student Learning Centers and to refer students. SLC staff is available for presentations, workshops and assistance with individual classes. Faculty members are encouraged to work with SLC staff to tailor a workshop to a specific course. An example is a test taking workshop to aid students in learning how to prepare and take specific tests. Tutors also provide class visits to promote SLC services. Refer to the SLC web site for a list of subjects that SLC supports each semester.

2.27 Transportation and Maps

The Transportation Service Center provides Northern Arizona University with a fleet of modern, well-maintained vehicles in an effort to provide safe, economical transportation for all official university requirements. Refer to the web site for procedures for requesting vehicles and obtaining policies related to the use of vehicles, as well as, a list of NAU buildings, printable maps and information on parking and shuttle services.

3. UNIVERSITY POLICIES

Northern Arizona University is an institution of learning organized under the constitution and laws of the state of Arizona. Some policies at NAU were developed by the Arizona Board of Regents and others were developed internally through one or more Vice Presidential divisions or the Office of the President. Policies for the Arizona Board of Regents can be accessed online at the ABOR web site. This section contains descriptions of policies/procedures within the following divisions/areas:

- Academic Affairs
- Arizona Board of Regents
- Finance & Administration
- Information Technology Services
- Research
- Student Affairs

3.1 Academic Affairs

This section describes the following policies and guidelines for faculty and academic professionals (AP):

- Adjunct and Visiting Scholar Appointments
- Annual Reviews, Promotion & Tenure Guidelines

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- Conditions of Faculty Service
- Curriculum
- Emeritus Nomination Process
- Hiring Steps for Faculty/Academic Professionals
- Notification of Outside Employment
- Personnel Action Calendar for Faculty Reviews
- Post-tenure Review
- President's Award Procedure
- President's Distinguished Teaching Fellow Nomination Process
- Promotion and Tenure
- Regents' Professor nomination process
- Sabbatical Application Process
- Salary Schedules for part-time faculty
- Supplemental Compensation form

The subsections which follow contain abbreviated descriptions of policies and procedures for the Academic Affairs division which should be of particular interest to faculty and academic professionals:

- Academic Program Review
- Academic Standards
- Commencement
- Conditions of Faculty Service
- Curriculum
- Registrar

3.1.1 Academic Program Review

Academic program review is the process through which Northern Arizona University regularly reviews, evaluates and establishes plans for all undergraduate and graduate programs. A program review consists of a self-study conducted by the faculty and program leadership, followed by a review by a team of external consultants and a member of the university faculty.

Program reviews are a means to ensure advancement of the quality of Northern Arizona University's academic programs. The process enables a comprehensive assessment of program goals, infrastructures, operations, and outcomes in relation to the mission and strategic plan of the university. The program review process facilitates dialogue among the provost, dean and program leadership that leads to the development of a plan for continued enhancement of the program.

Arizona Board of Regents policy (ABOR 2-208) requires review of all academic programs every seven years. The department or school is the basic unit of review. Normally, all programs within an academic unit are reviewed simultaneously. In some instances, externally accredited programs or programs that do not reside in a department or school are reviewed independently of academic units. Externally accredited programs are reviewed in compliance with the standards and procedures established by the accrediting organization. The review conducted by the accrediting body will usually serve as the academic program review process.

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3.1.2 Academic Standards

Policies on academic standards are reviewed and recommended by the Academic Standards Committee which reports to the provost with respect to all general and special academic policies, standards, procedures, and scholastic regulations. This committee continuously re-evaluates such standards and policies to assure that appropriate academic standards prevail.

- Submission Timelines and Committee Meeting Schedule
- Student Procedure for Appeal of a University Policy
- Appeal of Charge of Academic Dishonesty
- Dual Major/Dual Degree Policy
- End-of-Term Week Policy
- Finals Week Policy
- Grade Appeal Policy
- Standard Class Times Policy
- Submission of Mid-Term Grades
- Mid-term Grades
- Substitutions and Waivers from the Catalog for Record (Undergraduate)

The remaining subsections describe the following:

- Academic Dishonesty – Student Appeal
- Baccalaureate Honors Policy
- Class Meeting Times
- Grade Appeal Policy
- Grades and Grading
- Mid-Term Evaluation of Students
- Student Attendance

3.1.2.1 *Academic Dishonesty - Student Appeal of a Charge of Academic Dishonesty*

Academic dishonesty is a form of misconduct and includes the following: cheating, fabrication, fraud, facilitating academic dishonesty and plagiarism.

3.1.2.2 *Baccalaureate Honors Policy*

Baccalaureate honors designation appears on commencement programs and diplomas and is meant to recognize outstanding academic achievement by graduating students relative to their peers.

Completing 45 or more NAU hours and having an exemplary GPA with no more than 6 units of failing grades for the entire NAU undergraduate record, regardless of whether the failing grades were unrepeated, repeated, replaced or averaged are required. (Repeating a course in which an "F" grade was earned does not eliminate the "F" grade from the inclusion in determining Baccalaureate Honors.)

Appropriate GPA thresholds will be college specific. GPA thresholds are recalculated for each calendar year (i.e., Spring through Winter) using data from the preceding calendar year.

For each graduation period (i.e., Spring, Summer, Fall, Winter), Summa Cum Laude will be awarded to candidates whose cumulative GPA meets or exceeds the 5% threshold for their college. Magna Cum Laude will be awarded to candidates whose cumulative GPA meets or exceeds the 10% threshold for their college (but not the 5% threshold), and Cum Laude to candidates whose cumulative grade point average meets or exceeds the 20% threshold for their college (but not the 10% threshold).

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3.1.2.3 *Standard Class Meeting Times*

The standard class meeting time policy ensures that students will have the opportunity to enroll in required or desired courses and optimizes utilization of university facilities. All courses on the Flagstaff campus will be scheduled in accordance with the standard meeting times identified in the Standard Class Meeting Time policy.

3.1.2.4 *Grade Appeal Policy (Undergraduate)*

Only the faculty member who assigned the original grade has the authority to change that grade unless the grade is appealed and the appeal is successful. The procedure outlined in the Student Handbook, Appendix H, applies when a student initiates a grade appeal request and not when the instructor is correcting a grade on a standard form.

3.1.2.5 *Grades and Grading*

It is the responsibility of the instructor to provide students, either in the course syllabus or in written addendums, the grading scale to be used to assign course grades. Grades are reported to the Registrar's Office using the LOUIE online system. For a description of grades and grade point averages, refer to the NAU Academic Catalog.

The "A-Pass-Fail" grading option is designed to encourage students to take undergraduate courses outside their major field through utilization of a grading system which does not affect their overall grade point average except when a grade of "A" or "F" is earned. The form for participating in this program is available on the Registrar's website at the following address . An advisor's signature is required on the form. Undergraduate students may utilize this option if they have a minimum cumulative grade point average of 2.50, or a grade point average of 3.00 for 12 or more units for the preceding semester. A maximum of 12 hours of "A-Pass-Fail" coursework may be used in a baccalaureate degree program and no more than two courses in a single field may be used. Students may not use the "A-Pass-Fail" option for professional courses in teacher education, major, minor, honors and liberal studies courses.

Part-time faculty members and those leaving the institution are to leave their grade books and other grade records with the administrator in charge of the academic unit.

Only the faculty member who assigned the original grade has the authority to change that grade unless the grade is appealed and the student's appeal is successful (see below for *Change of Grade by Instructor*). In the event the faculty member is no longer with the university, the authority to change the grade, including the authority to make up an incomplete, is delegated to the department chair or dean. Refer to the NAU Academic Catalog for the policy on incompletes.

Change of Grade by Instructor

The course instructor is responsible for assigning the grade for a course based on an evaluation of materials submitted by students as described in the course syllabus or written addendum to the syllabus. Any change of the original grade assigned must be initiated by the instructor, except as outlined in the Grade Appeal process. All requests for a change of grade must use the approved form available from the Registrar's Office and must be approved by the instructor, unit chair or equivalent and the college dean. The instructor is responsible for articulating the rationale for the change of grade. For this purpose, an "I" or "IP" is

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not considered a grade; thus, changing an “I” or “IP” must be in accordance with the language in the current NAU Academic Catalog.

Changing a grade after it is submitted to the Registrar may include but is not limited to such issues as errors in the class roster, miss-assignment of the appropriate grade, and/or miss-calculation of the grade. After a grade is submitted to the Registrar, the grade may not be changed as the result of the addition of extra credit work not available to all students in the course and/or work not outlined in the syllabus or an addendum which was distributed during the semester. Nothing in this statement should be interpreted in any way so that it has an impact on “I” or “IP” contracts.

A change of grade must be initiated no later than one year (365 days) after the last day for submission of the grade roster to the Registrar’s Office for the course in which the grade change is being requested.

3.1.2.6 *Mid-Term Evaluation of Students*

In the interest of providing students with early feedback regarding academic progress in their course work, mid-term grade reporting is required for all lower division courses (100 and 200). This formal evaluation is designed to allow students an opportunity to work with faculty and academic support units to improve their performance.

The reporting of mid-term grades is done on the LOUIE system. Typically a three-week window is provided for the grades to be entered. Procedures for entering mid-term grades can be found by entering LOUIE, and selecting “Faculty/Advisor/Staff Tools” and :Grade Roster – Mid-Term”.

NAU Instructors are encouraged to submit mid-term grades for Fall and Spring 16-week, upper division (300 – 400) level courses. Submission of these mid-term grades will follow standard practice for the reporting of grades at NAU.

Notification to instructors regarding the time-period for entering the grades and other relevant information will be distributed by the Registrar’s Office. Normally, a three-week time frame for entering the mid-term grades will be allowed.

3.1.2.7 *Student Attendance*

The sections which follow provide information on institutional excuses and unregistered students in classes. Students are expected to assume the responsibility for regular class attendance as described in the Class Attendance policy in the NAU *Undergraduate Catalog*.

Institutional Excuses

As stated in the Class Attendance Policy in the NAU Academic Catalog, students are expected to assume the responsibility for regular class attendance. When absence is unavoidable, students should report the reason to the class instructor and assume the responsibility for any work they miss. Class Instructors have no obligation to make special arrangements for students who have been absent unless the student has an institutional excuse as described below. Class attendance policies must be in writing, included in the class syllabus and distributed to students during the first week of class. Class attendance policies must make allowances for students with institutional excuses.

An Institutional Excuse is granted to a student to participate in academic, extracurricular and athletic events as a representative of the university. Academic

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units may create appropriate processes to review and approve institutional excuses. Class Instructors may give a different test and/or give assignments composed of different subject matter than that missed by a student with an institutional excuse.

There are three types of institutional excuses as described below:

- The Academic institutional excuse is approved by the Dean of the College and is for students participating in a scheduled class activity outside of normal class meeting times and similar kind of events.
- The Extracurricular institutional excuse is approved by the Dean of Students and is for students participating in sanctioned and approved events of student organizations and non-NCAA athletic competitions.
- The Athletic institutional excuse is approved by the Vice Provost for Academic Affairs and is for students participating in NCAA sanctioned events.

Institutional excuse forms are available from the Student Handbook.

Class Instructors are required to honor institutional excuses. To honor an institutional excuse means to permit the student to complete in advance or to make-up after the absence (at the discretion of the instructor) academic assignments, quizzes and examinations missed during the time covered by the institutional excuse when the student was not in attendance.

Students are responsible for notifying class instructors and showing them a copy of the institutional excuse at least five (5) working days (or one class period if the class meets less frequently than every five days) prior to the start of the time period it covers. Class instructors are not required to honor institutional excuses presented to them less than the stipulated time period stated in the previous sentence. It is recommended that athletes, at the beginning of the semester, provide their faculty a schedule of all events in which the team will be participating for which an institutional excuse will be granted.

Unregistered Students in Classes

Faculty members must not permit students who have not completed the registration process to remain in classes. Rosters, listing students officially enrolled in classes, are available online to faculty on LOUIE. Instructors are to check the names of those in attendance against the official rosters and inform those who are not properly registered to complete the registration process.

Attendance Accommodation

If a qualified student with a disability believes he or she may not be able to abide by the attendance policy for disability related reasons, the student should contact Disability Resources prior to the beginning of the semester, or as soon as possible after the need for an exception arises, to discuss the matter of a possible accommodation. For additional information on this accommodation, refer to Disability Resources.

3.1.3 Commencement Participation

Faculty members and administrators are expected to participate in commencement activities in December and May. Correct academic attire is

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required for all participants. Information on commencement is available from the commencement web page.

3.1.4 **Conditions of Faculty Service (COFS)**

ABOR Policy 6-201 provides for local university implementation and definition of conditions of faculty service. NAU's local Conditions of Faculty Service is available from the Provost's web site/NAU index. Faculty members should review COFS for information on conditions of employment

The Arizona Board of Regents COFS policies are accessible from the following ABOR web page.

3.1.5 **Curriculum**

Curriculum policies are established to ensure that university undergraduate and graduate curriculum and all regulations pertaining thereto comply with the stated mission and goals of the university. Curriculum policies help assure academic integrity and prevent unnecessary course proliferation.

This section describes the following topics:

- Academic Strategic Plan
- Course Catalogs
- Course syllabus format and policy statements
- Criteria for upper/lower division courses
- Cross-listing and co-convening
- Diversity requirements
- Graduate education
- Letter designations on courses
- Schedule of classes
- Undergraduate curriculum components

3.1.5.1 *Academic Strategic Plan*

The Arizona Board of Regents (ABOR) requires each university to submit an annual Academic Strategic Plan to the ABOR Academic Affairs Committee. The Plan provides information on the key academic initiatives planned by the institution and describes how they support both the University's strategic plan and the system-wide strategic plan of the Arizona Board of Regents. The Committee's approval authorizes the university to implement changes outlined on the plan. The Academic Strategic Plan includes the following requests and information:

- An inventory of all academic degree programs which are expected to be planned, implemented, merged with other programs or eliminated in the upcoming year.
- A list of anticipated changes to academic organizational units.
- Status report on the previous year's plan.
- Information on the institution's centers and institutes created and eliminated.

Upon approval by the Academic Affairs Committee, the strategic plans may be implemented without further review or action by ABOR. Notification of the Academic Affairs Committee approval of the plans is submitted to the Arizona Board of Regents, normally in June. Northern Arizona University implements the plans in July at the start of the fiscal year or after all internal reviews as described

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below in Step 6: *Preparation of Implementation*.

Process for Creating Strategic Plans

ABOR provides templates for the strategic plan which are completed by the Office of the Provost for submission by the ABOR stated deadlines to allow preparation of a master document for submission to the Academic Affairs Committee in the spring semester. The previously approved Academic Plan for Northern Arizona University serves as a baseline for continuation; therefore, items listed on this plan will be carried forward automatically. Below is an outline of the steps and timetable to be followed in updating the NAU Academic Strategic Plan:

Step 1: Approval of Proposals

Proposals for new degrees, degree streamlining, name changes, center/institute changes or additions must undergo all internal university review and approval steps including those at the unit, college, and university levels. Prior to the internal reviews of proposals for new programs, name changes, organizational changes to academic units and the elimination of programs, the Dean must obtain approval from the provost/president to begin planning. Faculty must work with the Academic Dean and the Graduate Dean (for graduate programs) to develop proposals. A degree may not be included on the strategic plan until the Provost/President has approved the proposed change. College/School University Graduate Committee and University Curriculum Committee processes must also be followed prior to fully developing formal submission of proposals for new programs or deletions of programs.

Step 2: Internal University review and preparation of the University Academic Strategic Plan (mid-November – February).

Draft strategic plans are reviewed by the Provost's Academic Leadership Council which makes recommendations to the University Provost. Final approval of the Academic Strategic Plan is made by the University Provost/President.

Step 3: The University Academic Strategic Plan is forwarded to ABOR (mid-March). The strategic plan is submitted to the ABOR Academic Affairs Committee.

Step 4: Academic Affairs Committee reviews and approves the University Academic Strategic Plan (April/May).

Step 5: The Strategic Plan is submitted to the June ABOR meeting as a consent item.

Step 6: Preparation of Implementation. The Provost's Office will notify each dean regarding the status of items on the strategic plan and the need for implementation proposals for new programs/units/centers/institutes. Implementation proposals will need to be prepared and undergo the internal unit, college/school and university reviews (i.e., curriculum committees/graduate committee). Once all internal reviews and approvals have been met, the Provost's Office will notify the dean that the program, unit or center/institute may be implemented.

Step 7: Programs Requiring Fees. Proposals requiring new state resources or a program or course fee must be reviewed and approved through the current budget and tuition/fee approval process. Questions about the fee process should be directed to the Office of the Provost.

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The Academic Strategic Plan for Northern Arizona University is available from the Provost's web site. Questions about this process should be forwarded to Provost@nau.edu.

3.1.5.2 *Course Catalogs*

The NAU undergraduate and graduate course catalogs are available from the the NAU web site.

3.1.5.3 *Course Syllabus Format and Policy Statements*

The approved format for the course syllabus is available from the University Curriculum Committee's web site.

3.1.5.4 *Criteria for Upper/Lower Division Courses*

The criteria for upper/lower division courses is available from the University Curriculum Committee's web site.

3.1.5.5 *Cross-Listing and Co-Convening*

Cross-Listing refers to the same course, taught with different departmental prefixes (e.g., political economy might be listed as both ECO 585 and POS 585). Co-Convening refers to convening graduate and undergraduate courses on the same topic together (in the same room, at the same time). For example "Anthropology of Animals" might be listed as both ANT 4xx and ANT 5xx.

The policy for cross-listing and co-convening is available from the University Curriculum Committee's web site.

3.1.5.6 *Diversity and Liberal Studies Requirements*

This section provides a brief description of the Diversity and Liberal Studies requirements for Northern Arizona University.

Diversity Requirements - A diversity curriculum requirement for all NAU students was created for two diversity categories: US Ethnic Diversity and a Global Diversity.

The requirement is as follows for all NAU baccalaureate students who graduate under the provisions of the 2005-2006 *NAU Undergraduate Catalog* and subsequent catalogs:

- Three (3) units of course-work that meet the criteria for the US Ethnic Diversity requirement
- Three (3) units of course-work that meet the criteria for the Global Diversity requirement.
- These requirements may be fulfilled in any part of the student's program of study.
- Global diversity requirements are designed to provide an understanding of the perspectives (e.g. theoretical; historical; social; political; economic; cultural; religious; geographic or sense of place; environmental; or intellectual traditions and/ or ways of knowing) of non-Western peoples.

Liberal Studies Requirements - The Mission of the Liberal Studies Program is to prepare students to live responsible, productive, and creative lives as citizens of a dramatically changing world. To accomplish this mission Northern Arizona University provides a Liberal Studies Program that challenges students to gain a deeper understanding of the natural environment and the world's peoples, to

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explore the traditions and legacies that have created the dynamics and tensions that shape the world, to examine their potential contributions to society, and thus to better determine their own places in that world.

The Principles to Guide the Development of Student Learning Outcomes are:

- To understand natural processes and the fragility of the earth's environment.
- To understand the world's peoples and their diversity.
- To understand the traditions and legacies that have created the dynamics and tensions that shape the world.
- To understand the potential for and limitations of technology to enhance human and other life.
- To act upon the individual's responsibilities and connections to local, national, and global communities and environments.
- To practice the habits of an examined or self-reflective life to facilitate ethical and responsible living.

3.1.5.7 *Fees (Course/Program)*

All program and course fees greater than \$100 must be approved by the Provost and President prior to the President's public announcement regarding tuition and fee recommendations in March/April. The deadline and timelines associated with the internal requests for fees is announced to the campus community early in the fall semester through email announcements and *Inside NAU* announcements.

Course fees are intended to allow departments to recover certain costs with providing instruction. In no case should course fees or payments be made directly to the course instructor.

The fee process is described on the Registrar's web site.

3.1.5.8 *Graduate Education*

With 49 master's degree programs, seven doctoral programs, a doctorate in physical therapy, and more than twenty certificate programs, graduate education at Northern Arizona University is diverse and challenging. NAU graduate students receive exceptional mentorship and find high-level opportunities for research, service, teaching, and interdisciplinary partnerships. There are more than five thousand graduate students enrolled at NAU. Of these, approximately two-thirds live elsewhere and pursue their degrees in classrooms at our numerous sites statewide or online.

NAU also offers integrated bachelor and master's degree programs, providing outstanding juniors and seniors the opportunity to work simultaneously on a master's degree. Integrated programs are available in Criminology and Criminal Justice; Engineering; Forestry; Geography, Planning and Recreation; and Psychology.

Additionally, NAU offers Professional Science Master's (PSM) programs in Geospatial Sciences and Climate Science and Solutions. PSM programs are interdisciplinary graduate degree programs that allow students holding bachelor's degrees in science or math to receive advanced training in their core discipline while developing business and professional skills essential to the workplace. PSM programs generally require two years and are designed to meet the need for applied scientists, engineers, and mathematicians in industry and government.

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Finally, the Graduate College offers a number of graduate certificates, a focused collection of courses that afford students a record of coherent academic accomplishment in a given discipline or set of related disciplines. Graduate certificate programs may represent a more practice-oriented subset of an existing graduate discipline and require fewer credits than a master's degree. Undergraduate certificates are processed through the Undergraduate Curriculum Committee.

3.1.5.9 *Letter Designations on Courses*

NAU currently uses seven designations at the end of course numbers to indicate specific kinds of courses. For a list of these and the restrictions which apply, refer to the University Curriculum Committee web page.

3.1.5.10 *Schedule of Classes*

The fall and spring Schedule of Classes (SoC) serves as the department creators' contact person for special class changes, and builds and maintains the Location, Building, Facility, and Class Notes tables. Schedules are available through the NAU home page: select "Quicklinks" and "LOUIE online".

3.1.5.11 *Undergraduate Curriculum Components*

A plan of study that students complete typically leads to the posting of a degree or a certificate. Examples: extended major, major, minor, certificate.

Major – Planned group of courses within a single discipline or selected from among two or more related disciplines containing 30 to 52 credit hours.

Extended Major – Planned group of courses within a single discipline or selected from among two or more related disciplines containing 53 or more credit hours.

Minor – Planned group of courses within a single discipline or selected from among two or more related disciplines.

Single Discipline Minor	18 to 24 hours
Area Studies Minor	18 hours

Certificate – Planned group of courses within a single discipline or selected from among two or more related disciplines containing a minimum of 15 hours.

3.1.6 **Registrar**

The Office of the Registrar provides services in the areas of enrollment, grades, transcripts, verifications, graduation, and the maintenance of records. Calendars for enrollment, session dates, grading schedule, schedule of classes and class maintenance are available from the Registrar's web site.

3.1.7 **Faculty Authored Textbooks**

When a faculty member prescribes the use of his/her textbook, an arrangement should be made with their direct supervisor whereby the faculty member can derive no personal profit whatever from sales of the book to students as prescribed. A suitable arrangement would preclude any royalty payments, or comparable compensation either by excluding such a sum from the purchase price of the materials or by arranging that such payments would be earmarked to go to some other charitable or educational use (i.e., scholarships).

3.2 Arizona Board of Regents

Arizona's state universities are under the jurisdiction and control of the Arizona Board of Regents (herein "the Board"). The Board is a body corporate with perpetual succession. The state universities are operationally independent from each other, but, together with the Board, they comprise the principal components of the system of coordinated governance established by the Board and known as the Arizona University System.

The purpose, authority, powers and duties of the Board are derived from the Constitution, statutes and laws of the State of Arizona. The Board is assisted in the performance of its duties by staff employees who collectively are known as the Central Staff.

The following ABOR policies are particularly important for faculty. Other policies that may be of interest can be accessed from the ABOR policy manual which should be reviewed for possible revisions to the policies listed below.

3.2.1 Lobbying - ABOR Policy 1-102

The Arizona Board of Regents recognizes and appreciates the privilege which each individual in this state and nation has to express his or her opinion and to seek to make that opinion known to members of the Congress and the state legislature. The Board also recognizes the responsibilities with which it has been entrusted in connection with the operation of our universities and the advancement of higher education in the state of Arizona and recognizes that on occasion the interests of the Board and the universities will not coincide with the interests of individual employees of the Board.

In approaching members of the state legislature or the Congress, employees of the Board shall make every effort to indicate clearly that the position which they take is an individual position or is the position of a group other than the Arizona Board of Regents. In instances in which the Board has taken an official position, the employee or employee group endorsing a differing position shall make it clear to the legislative body that the Board has endorsed a different or contrary position.

The university officials responsible for disbursement or allocation of state funds shall determine prior to disbursement or allocation that such funds will not be used for purposes of influencing legislation unless such use receives specific authorization by the Board.

The Board shall make known to the appropriate members of the legislature that only the president of the Board or his or her designated delegate shall speak for the Board in matters relating to policy.

This policy is not intended to nor shall it be enforced so as to restrict rights guaranteed to individual employees but is an attempt only to separate the views of those employees from positions which the Board may take in attempting to discharge its responsibilities under the Constitution and the statutes of the State of Arizona. [A.B.O.R. 1-102]

3.2.2 Competition with Outside Enterprise - ABOR Policy 1-105

The policy related to competition with outside enterprise can be found at the ABOR web page.

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3.2.3 Outside Employment - ABOR Policy 6-705

An employee may obtain outside employment or render professional services provided:

- It does not in any way interfere with the university duties of the employee; and
- Outside employment is fully consistent with all rules promulgated by the university and the Board of Regents.

All NAU employees must complete the course on Conduct, Ethics, Reporting and Transparency (CERT) which is available from the NAU web index.

3.2.4 Political Activity - ABOR Policy 6-905

Employees may participate in political activity outside their employment, but shall not allow their interest in a particular party candidate, or political issue to affect the objectivity of their teaching or the performance of their regular university duties.

3.3 Finance & Administration

The Office of Finance & Administration provides oversight for many of the university's business functions. The following subsections provide information regarding the following two areas that report to this office:

- Human Resources
- Financial Services/Comptroller

3.3.1 Human Resources

The Office of Human Resources provides a Personnel Policy Manual which summarizes policies for employees of Northern Arizona University. The policies apply to all or specific groups of employees depending on the topic (e.g., Leaves, Benefits, Records, etc. and federally mandated requirements). This section contains a few of the policies that may be found in online HR policy manual.

3.3.1.1 *Affirmative Action*

Pursuant to Executive Order 11246, Section 503 of the Rehabilitation Act of 1973, Section 402 of the Vietnam Era Veterans' Readjustment Assistance Act, and their implementing regulations, the university takes affirmative action to employ and advance in employment qualified women, persons of color, individuals with disabilities, and Vietnam-era and special disabled veterans at all levels within the organization. Where there are substantially equally qualified candidates for a position being filled, preference shall be given to candidates whose hire will help correct underutilization as identified in the university's Affirmative Action Plan and then to candidates whose hire promotes diversity through workforce representations of individuals with disabilities and/or covered veterans. Refer to personnel policy 1.02 or to the Affirmative Action web site.

Americans with Disabilities Act (ADA)

The Americans with Disabilities Act (ADA), signed into law effective July 26, 1992, established a clear, comprehensive federal prohibition of discrimination against persons with disabilities. Sections 503 and 504 of the Rehabilitation Act, which also prohibit discrimination against persons with disabilities, also apply to the university. Pursuant to those laws, the university prohibits discrimination and

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provides equal access to persons with disabilities in admissions, employment, educational programs and activities, and public programs and activities.

With respect to employment, the university prohibits discrimination against a qualified individual with a disability in regard to hiring, compensation, advancement, training, and other terms or conditions of employment. The university provides reasonable accommodation for the known physical or mental limitations of qualified applicants or employees with a disability, unless the accommodation would impose an undue hardship on the university. In determining whether and what type of reasonable accommodation may be appropriate, supervisors shall notify the Affirmative Action Office or the Human Resources Department for assistance. Refer to personnel policy 1.02.

Alcohol and Drug Policy

Northern Arizona is committed to providing a healthy educational environment, consistent with university policies and free from unlawful acts. NAU must certify compliance with The Drug-Free Workplace Act (41 USCA 701), The Safe and Drug-Free Schools and Communities Act (20 USCA 7101), and the Drug and Alcohol Abuse Prevention Regulations (34 CFR 86). As such, the university is taking this opportunity to inform all students, faculty and staff of the health risks, university policies, university and legal sanctions, and the prevention/intervention programs associated with alcohol and other drug abuse. Refer to personnel policy 5.05.

Emergency Closure

While it is the policy of NAU to remain open, in emergencies caused by severe weather conditions or a natural or an unnatural disaster, the president or designee may close the university to protect the health and safety of the students, faculty, and staff. The president or designee also will determine when the emergency has ended and the university should be reopened. For additional information refer to the Human Resources website.

Equal Employment Opportunity

The university is an equal employment opportunity employer. University policy prohibits discrimination on the basis of race, color, sex, religion, age, national origin, disability, Vietnam-era or special disabled veteran status or sexual orientation. The university bases employment decisions solely upon the individual's qualifications for the position being filled. The university recruits, hires, and promotes for all job classifications without regard to race, color, sex, religion, age, national origin, disability, Vietnam-era or special disabled veteran status or sexual orientation, except as affirmative action, legal requirements or carefully analyzed and thoroughly documented bona fide occupational qualifications permit or where an individual's disability would prevent him/her from successfully performing the essential functions of the position to be filled despite reasonable accommodation by the university. Refer to personnel policy 1.02.

Safe Working and Learning Environment

It is the official policy of Northern Arizona University to prohibit discrimination, to inform individuals of their right to be free from such behaviors, and to promote the safety of all individuals at university sites and activities. *The Safe Working and Learning Environment Policy (SWALE)* covers students, staff, faculty, administrators, contractors, vendors, visitors, residents and guests in accordance with federal and state statutory and decisional law.

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This policy is based on Arizona Board of Regents and NAU Policy and state and federal laws including, but not limited to: Title VI and VII of the Civil Rights Act of 1964, as amended; the Age Discrimination in Employment Act of 1967; Title IX of the Educational Amendments Act of 1972; Sections 503 and 504 of the Rehabilitation Act of 1973; the Vietnam Era Veterans Readjustment Assistance Act of 1974, as amended; the Civil Rights Act of 1991; Executive Order 11246; and the Americans with Disabilities Act of 1990, as amended. *The Director of Affirmative Action and Equal Opportunity is the institution's designated compliance officer for civil rights and affirmative action, ADA/504 Coordinator and Title IX Coordinator. For more information, including a copy of the policy and related grievance procedures, refer to the Affirmative Action website.*

3.3.2 Financial Services/Comptroller

Financial Services/Comptroller oversees several areas at NAU including Financial Accounting Services, Office of the Bursar, Sponsored Projects, Accounts Payable, Travel, Purchasing Services, Postal Services, Financial Controls and Financial Compliance. For information and policies related to these offices, please visit their web site.

3.4 Information Technology Services

Information Technology Services operates and maintains information technology and telecommunications services in support of the Northern Arizona University mission and goals.

3.4.1 Computer Support Policies

Information Technology Services (ITS) supports the mission of NAU by providing desktop computing solutions for faculty and staff.

Demand for ITS services is high and the support policy was developed to focus efforts on the most critical needs of NAU faculty and staff as the core mission. However, there are some limitations that ultimately protect the provided service level. ITS cannot legally service equipment that is not owned by NAU, nor can they offer services to relatives or friends of NAU employees, or members of the community at large. In order to obtain services from ITS, employees must identify themselves with an NAU computer account user ID and for hardware repair services, the computer property control number. Never give this account information to family or friends for their use.

3.4.2 Email Usage Policy

Email is considered an official method for communication at Northern Arizona University for students, faculty and staff because it delivers information in a convenient, timely, and cost effective manner. Students, faculty and staff are responsible for the timely review of email correspondence sent to official NAU email accounts. Students, faculty and staff are expected to check their NAU official email on a frequent and consistent basis in order to remain informed of University-related communications.

3.4.3 Cell Phone Policy

Northern Arizona University has a Cell Phone Policy which addresses the use of personal cell phones for university business. This policy was established to provide guidance for the use of cell phones for some job positions.

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3.4.4 Network Acceptable Use Policy

Access to Northern Arizona University's computing and network resources is a privilege which imposes certain responsibilities and obligations which are subject to university policies and codes, and local, state and federal laws. All users of these shared resources must act responsibly and comply with specific policies and guidelines governing their use. The purpose of this policy is to promote the efficient, ethical and lawful use of NAU's computer and network resources.

3.4.5 Security Policy

Northern Arizona University is committed to preserving the availability, confidentiality, and integrity of its information resources while also preserving and nurturing the open, information-sharing requirements of its academic culture. The University must protect its information assets, provide for the integrity of institutional processes and records, and comply with state and federal regulations.

3.5 Research

The Research Division at NAU provides leadership to promote the university's research enterprise. This section describes the following topics:

- Mission of Research at Northern Arizona University
- Resources Available through the Research Division
- Institutional Review Board (IRB) for the Protection of Human Subjects, Institutional Animal Care and Use Committee (IACUC), and Other Research Compliance Services
- Misconduct in Research
- Intellectual Property and Copyrights

3.5.1 Mission of Research at Northern Arizona University

Research is an essential component of Northern Arizona University's role as a Doctoral High Research institution, as defined in the Carnegie classification. The university's research and creative activities result in new knowledge and innovation that

- strengthen the outstanding education provided by the university;
- foster the continued learning of faculty, staff, and students;
- and benefit the environmental, economic, and cultural vitality of our region and society.

3.5.2 Resources Available through the Research Division

The Research Division and the Office of the Vice President for Research seek to advance the scope and impact of scholarly work across campus by fostering an environment that encourages and inculcates creativity, innovation and excellence. The Division coordinates and oversees the following services and activities:

- intramural grant programs for faculty, students, and staff
- intellectual property policy and technology transfer
- undergraduate research initiatives and support
- university-wide research and public service partnerships
- strategic environmental initiatives
- specialized services and facilities to support researchers
- information on and assistance with regulatory compliance issues
- information on external funding opportunities, and support in applying for and managing external grants

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3.5.3 Research Compliance Services

This section describes the Institutional Review board (IRB) for the Protection of Human Subjects, Institutional Animal Care and Use Committee (IACUC), and other Research Compliance Services. All research that utilizes human subjects -- sponsored and unsponsored, faculty or student initiated -- must receive university approval before it is initiated. If research involves human subjects in any way, an application using the online system, NAIRBe, is required and available on the main IRB website. The web site also includes several help options and online support to guide users through the NAIRBe system and IRB regulations.

Faculty and student researchers as well as key personnel on research projects also must take a required tutorial provided by the Collaborative Institutional Training Initiative (CITI). Tutorial completion must be current within the past two (2) years. Instructions and relevant links are provided on the main IRB website noted above.

Most projects require signed informed consent from human participants. The main IRB website includes informed consent form templates for research involving adults, children, and parental consent. These templates are also available in Spanish.

Once the application and required attachments are received, the Human Protections Coordinator will review and determine if the research is a) exempt from review, b) can be processed through an expedited review, or c) must be reviewed by the full Human Subjects Review Board.

Research that continues beyond the IRB approval period (which is usually one year), must be approved for continuation. Researchers should file an Application for Continuing Review with the IRB office one month prior to IRB approval expiration. If a research project changes in terms of data collection, participants, analysis procedures, or in any other way, researchers should file a Research Amendment Form to have their changes reviewed by the IRB. Both of these forms are available with instructions on the main IRB website.

The Human Subjects Review Board is empowered to reject research that is in violation of ethical standards for human subjects. In reviewing an application, the Human Subjects Review Board may a) approve, b) provide qualified approval, c) defer for clarification or d) deny approval. For further information contact the IRB Office at 928-523-4236.

All research involving vertebrate animals, whether in laboratory conditions or in the field with non-captive animals must be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC). Participating personnel are obliged to go through training in the legal and health issues involved with animal research, and must have their research protocols reviewed and approved by the IACUC prior to beginning the research.

Research may involve other areas where the university is obligated to follow and to comply with complex regulatory requirements. Such areas include biological safety (use of biological materials), hazardous waste and chemical hygiene, select agent (pathogen) research, import/export control (including collaboration with foreign scientists), etc. The Office of Regulatory Compliance, housed within the Research Division, provides support and assistance with all these areas and more. Excellent explanatory materials, links to training, and personal contacts are available through the web site.

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3.5.4 Misconduct in Research

Federal regulations require that grant and contract recipients have a policy to specify guidelines and procedures for dealing with alleged and suspected misconduct in research. The responsibility to administer this policy resides with the Vice President for Research. The policy can be accessed through the web site. All allegations or suspicions should be reported to the Vice President for Research.

3.5.5 Intellectual Property and Copyrights

The Arizona Board of Regents encourages faculty, staff, administrators, and other employees (including students) to undertake and receive recognition for their creative endeavors. In general, intellectual property created by faculty, staff and other employees (collectively "employee") is the property of the Board as provided for under current federal and state law. Benefits accruing to the Board derived from this intellectual property will be used to further the teaching or academic research programs in areas of intellectual property. NAU may patent, register, market, and license intellectual property using its own resources or through one or more intellectual property management organizations. The net income derived by the university will be shared with the creator of the intellectual property in accordance with this policy, and the remainder will be used in support of research, investigation, or research fellowships, or other activities relevant to the generation of intellectual property at NAU (ref. ABOR Intellectual Property policy 6-908).

Under the United States Code, Title 17, Copyrights, Chapter 1, Section 102, federal statutory copyright exists in "original works of authorship" fixed in any tangible medium of expression, now known or later developed, from which they can be perceived, reproduced, or otherwise communicated, whether directly or with the aid of a machine or device.

NAU Ventures, a partnership between the university, the NAU Foundation, and the Northern Arizona Center for Entrepreneurship and Technology (NACET), provides comprehensive support to faculty and other university inventors who have created intellectual property in the course of their relationship with the university. This support extends from the initial filing of an invention disclosure (the start of the process) through further development, possible patent or copyright protection, to potential commercialization strategies.

3.6 Student Affairs

Student Affairs partners with campus organizations to provide student-centered programs and services that value student learning, diversity and responsible citizenship.

Student Handbook

Student Affairs oversees the Student Handbook that contains many university policies regarding students, including rules and regulations associated with student behavior. Some policies in the handbook were developed by the Arizona Board of Regents and others were developed by Northern Arizona University.

4. ROLE AND RESPONSIBILITY OF THE FACULTY

This section describes the roles and responsibilities of faculty in the course of their duties at Northern Arizona University. Topics covered in this section include:

- Code of Ethics and Conduct (see also ABOR policies 5-301, 5-302, 5-303, 5-304, 5-305)
- Faculty Workload
- Faculty Teaching Summer/Winter Sessions

4.1 CODE OF ETHICS AND CONDUCT

Northern Arizona University is an extended community of students, faculty and staff devoted to learning. Members of our community construct, advance, transmit, and preserve knowledge through study, teaching, artistic expression, research, and scholarship. As a public university, we have an obligation to serve the public interest as well. All who join this community gain important rights and accept equally important responsibilities. We believe in the principles of free expression, free inquiry, reasoned discourse, intellectual honesty, and respect for the rights and dignity of others. We respect the autonomy of each person's conscience in matters of conviction and personal beliefs, and we affirm the importance of high standards of academic and professional integrity. The development of the Code of Ethics and Conduct has been guided by these basic principles and influenced by other works including the Statement of Professional Ethics of the American Association of University Professors (1987) and the Policy and Procedure Manuals of the Arizona State University and the University of Arizona.

1. "Professors, 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 professors 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 professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry." (AAUP, 1987). At Northern Arizona University, faculty are expected to:
 - Adhere to and practice the highest standards of intellectual honesty and scholarly competence;
 - Comply with standards of ethical practice established within their fields of expertise and within the academic community in general; and
 - Participate in scholarship and other activities to expand their understanding and scholarly competence within their areas of expertise.

Some examples of unacceptable conduct include:

- Intentional or negligent misappropriation of the writings, research, or ideas of others through plagiarism of existing works or failure to give due credit to colleagues, students, and others involved in collaborative work; and
- Failure to comply with Conflict of Interest policy when participating in the evaluation of research, scholarship or other creative activities and associated funding.

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2. “As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors 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.” (AAUP, 1987) At Northern Arizona University faculty are expected to:

- promote and protect the academic freedom of students;
- encourage students to participate in the free exchange of ideas;
- serve as models of the ethical standards of their disciplines and the academy in general;
- make reasonable efforts to establish and maintain the standards of academic honesty in their classrooms;
- treat students with respect;
- plan assessments that provide useful and timely feedback to the students with regard to their progress within the context of course content;
- evaluate student performance in a fair and objective manner;
- promote trust and respect in relationships between students and faculty and avoid any form of exploitation of students;
- require a level of academic performance compatible with producing graduates that meet the expectations of their profession and the community;
- respect the privacy of students and maintain the confidentiality of student grades and other personal records consistent with FERPA requirements;
- adhere to university policy with respect to meeting class, holding office hours, and holding examinations as scheduled.

Some examples of unacceptable conduct include:

- denying a student access to regularly scheduled instruction in conflict of university policies;
- exhibiting a pattern of undue delay in evaluation of student work;
- discriminating against a student on the basis of race, religion, sex, sexual orientation, ethnic origin, disability, political beliefs, age, or for other arbitrary or personal reasons;
- sexual harassment, and
- use of self-authored textbooks where this use has not been authorized by the appropriate administrators.

3. “As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.” (AAUP, 1987). At Northern Arizona University, faculty are expected to:

- respect and defend the rights of their colleagues to express their professional opinions;
- provide objective and useful critiques of the professional opinions of their colleagues;

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- avoid letting professional disagreement with a colleague affect the objectivity of an administrative decision affecting that colleague;
- participate in committees so as to promote the overall vitality of the academic community;
- treat colleagues with respect and ensure that the free exchange of ideas in discussion and debate is conducted in a manner consistent with maintaining that respect.

Some examples of unacceptable conduct include:

- evaluating colleagues by criteria not reflective of their professional performance;
- discriminating against faculty on the basis of race, religion, sex, sexual orientation, ethnic origin, disability, political beliefs, age, or for other arbitrary or personal reasons;
- violation of confidentiality rules governing personnel procedures and decisions;
- interfering with the academic freedom of faculty members;
- soliciting or encouraging personal criticism of others;
- using the creative achievements of colleagues without obtaining their permission and giving appropriate credit.

4. “As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors 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, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.” (AAUP, 1987). At Northern Arizona University, faculty are expected to:

- follow the rules and regulations established by ABOR, and the university administration and, where such policies or regulations violate one’s ethical standards, seek changes to them through appropriate methods;
- make reasonable efforts to ensure that their personal and professional decisions do not compromise the reputation and mission of the university, their college or department;
- obey the terms of disciplinary sanctions imposed for violations of the code of conduct;
- ensure that any work conducted outside the university does not interfere with or diminish the ability to fulfill one’s responsibilities within the university.

Some examples of unacceptable conduct include:

- disobeying university rules and regulations or encouraging others to disobey university rules and regulations;
- intentionally disrupting a university-sponsored or university authorized function, activity, or event;
- unauthorized use of university resources, personnel, or facilities including computing systems and e-mail;
- using the position as a faculty member to provide support for personal or political positions;
- sexual harassment toward any member of the university community as explained in SWALE.

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5. “As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom” (AAUP, 1987). At Northern Arizona University, faculty are expected to:

- comply with the lawful directions of officials charged with the maintenance of public safety;
- act as responsible, engaged members of the community, with a special awareness of the responsibilities of citizens in a free society;
- draw a clear distinction between expressing personal opinions and serving as a representative of the university and, when expressing a personal opinion, make it clear that the opinions expressed are one’s own and not those of the university.

Some examples of unacceptable conduct include:

- violation of local, state, and federal laws regarding the safe handling, storage, and use of dangerous substances, machinery or weapons; the use of controlled substances (i.e. drugs); and the inappropriate use of public or private property;
- committing a criminal act or other breach of professional conduct that demonstrates lack of fitness to continue as a member of the faculty;
- intentionally misrepresenting personal opinions as official positions of the university or any of its units or agencies;
- use of the university’s name or official logos or emblems to create the impression of university sanction for a personal and/or private activity.

4.2 FACULTY WORKLOAD

Tenured and tenure-eligible faculty have a diversified workload expectation that is spread across teaching and other student-related responsibilities, including advising; scholarship/research or creative activity, including both funded and unfunded activity; and university and professional service. Some faculty members also have administrative assignments. Workload units are generally based on the concept that fifteen (15) units represent a full time faculty commitment within a semester with the expectation that a unit represents on average about three (3) hours of work per week. Assignments that exceed this fifteen unit expectation would typically be considered an overload assignment (see section 4.2.2, Overload Assignments). In assigning faculty duties, the colleges and departments recognize that laboratory and clinical development and supervision, direction of student research and independent study, administrative assignments, and research/creative activity in the interest of the university, are legitimate partial equivalents of credit-hour workload and legitimate demands upon a faculty member’s time.

Faculty in non-tenure-eligible teaching/clinical positions typically have a workload devoted to teaching and other student-related activities, with less frequent assignments in other categories. Faculty in non-tenure-eligible research positions may have a workload devoted to research with less frequent assignments in teaching and other student-related activities.

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4.2.1 Unit Level Workload Policies

Every academic unit must have a workload policy that is developed by the faculty and unit administration, and approved by the faculty of the unit, chair/director, dean and provost. In addition each workload policy must include an appeal process in the event that there are disputes over the assignment of individual faculty workloads.

The workload policy should describe how assignments of teaching/student-related activities, scholarly/creative activities, and service activities are developed, and how load credit is determined for any specific assignment. In the interest of fairness and consistency of application, each unit workload policy shall attempt to recognize the variety of tasks needed within the unit, as well as how best to match faculty strengths and interests to these tasks in order to meet the overall needs of the academic unit.

In addition, the workload policy shall be consistent with the workload principles outlined in this document (see sections 4.2.3 – 4.2.5 below) for consideration of allocation of effort regarding teaching/student-related activities, scholarly/creative activities, and service activities.

The annual performance of a faculty member is measured within the context of the Statement of Expectations; therefore annual assignments must consider approved unit and University criteria for annual review as well as tenure and/or promotion. Workload assignments are described for each faculty member annually in a Statement of Expectations that is negotiated between the faculty member and the chair or academic unit leader before the end of the academic year, to be effective for the next academic year.

4.2.2 Overload Assignments

The salary received by full-time faculty is considered to be full compensation for university-related activity during the appointment period. However, there may be occasions when a faculty member is asked to take on an activity, typically teaching an additional course, which is beyond the scope of the assignment and responsibilities agreed to in the annual Statement of Expectations. In such a situation, it may be appropriate to authorize an overload assignment for Supplemental Compensation. Authorization of an overload assignment for Supplemental Compensation must be approved in writing by the administrators designated on the approval form in advance of the activity. The *Supplemental Compensation* forms for faculty are available from the Human Resources Forms web page:

- Supplemental Compensation Pre-approval (step 1) for FACULTY
- Supplemental Compensation Payment (step 2) for FACULTY

A faculty member may not be required to take on an overload assignment, whether for supplemental pay or any other form of compensation (e.g., reassigned time in another semester). The overload assignment must not in any manner compromise or adversely affect the performance within the responsibilities outlined in the Statement of Expectations, or the development of a record appropriate for tenure and/or promotion.

Typically, faculty members are limited to one overload course assignment per semester. Occasionally a faculty member may be requested to take on an overload assignment other than teaching, and such assignments have the same limitations. It is generally inappropriate for a faculty member teaching two

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courses or fewer in a semester to receive Supplemental Compensation for additional teaching. Exceptions to these limitations require workload documentation and appropriate administrative signatures. Additionally, faculty who receive any portion of total compensation from federal funds or sponsored projects must have approval from the sponsor as well as appropriate NAU administrators.

4.2.3 Teaching and Student-Related Activity

Teaching is at the core of the mission of the University; whether in the context of undergraduate education, mentoring graduate students, training students in the professional schools, or any of the other myriad ways faculty interact with students, inside and outside the classroom. The University places great emphasis on the teaching role of faculty and strives to provide resources to encourage and facilitate interactions between students and faculty members. Consequently, students should expect a rich and diverse learning environment. In all of their dealings with students, it is expected that faculty members will be fair and equitable, will support students in their own development within the University community, and will adhere to the highest standards of professional conduct.

The following paragraphs define teaching and other student-related activities and suggest typical workload levels for these activities. Because colleges, departments, and units vary widely in their missions and goals, no single definition will apply to all. Hence these paragraphs serve as a guideline to be used in developing departmental and college level expectations for teaching and student-related activities.

4.2.3.1 *Definition of Teaching and Student Related Activities*

It is the expectation of all faculty members at NAU that they teach in an effective manner. Effective teaching requires that faculty members are aware of current trends and research in their discipline.

Teaching activities include curriculum development and planning, and modifying programs and courses in order to meet the needs of contemporary students and to reflect current knowledge, research, and trends in the discipline, as well as awareness of gender and diversity issues. Faculty members are expected to establish challenging goals and provide students with appropriate learning experiences. In doing so, faculty members are expected to be receptive to new ideas and new methods, and to listen and to give serious consideration to proposals that students and colleagues make for changes.

Faculty members are expected to be knowledgeable in course organization and to assess learning in a fair and responsible manner. Faculty members collectively are responsible for assisting in the development of students' essential academic skills including:

- critical thinking
- effective writing
- effective oral communication
- quantitative reasoning
- scientific reasoning

A faculty member's success in fulfilling these responsibilities is one measure of the University's success in meeting its educational mission.

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Academic advising is another important student-related activity. Advising activities include guiding progress toward graduation and post-graduation planning. Advice and direction should emanate from within the professional purview of the advisor and academic unit and conform to university policies. Faculty members are expected to be familiar with current academic policies and requirements, special student needs and the resources available to address them, and faculty members' responsibilities pertaining to these issues. Faculty members are not expected to make judgments or offer conclusions about medical, psychological, or social problems being experienced by students, rather, should refer the student to the appropriate service.

Faculty members are expected to post and maintain specific office hours that afford students opportunities to acquire assistance and counsel. Advising should also include maintaining advisor notes in student records.

In addition to classroom teaching and academic advising, there are other forms of student-related activities that might be a part of a faculty member's workload (e.g., student mentoring, student research supervision, recitation sections).

4.2.3.2 *Guidelines for Workload Policies for Teaching and Student-Related Activities*

The proportion of individual faculty time devoted to instruction must be flexible in order to meet university needs and effectively utilize faculty skills. Tenured and tenure-eligible faculty members will normally be assigned to 50 to 70% of their workload for teaching and student-related activities. Non-tenure eligible faculty members will normally have 80 - 100% of their workload assigned to teaching and student-related activities if they are in teaching or clinical positions. Academic advising is normally considered a teaching/student-related activity.

In order to provide some consistency in the equitable application of workload policies throughout the University while recognizing the wide variation in the types of teaching and student-related activities that occur in different academic units, it is suggested, for example, that each unit might use such guidelines as "teaching a three-hour course typically equates to about 20% of one's semester workload (or 10% on the AY workload), taking into consideration the class contact time, preparation, meeting with students, evaluation of student performance, and the like."

However, variations in the circumstances of instruction that affect the amount of time and effort required to effectively teach a course should be considered when determining workload. Examples of these circumstances may include but are not limited to:

- number of students
- multiple sections
- extent of travel required for teaching or supervision
- number of teaching assistants or clinical instructors to orient and coordinate
- supervision of student teacher and other student fieldwork
- developing and coordinating clinical and field work site
- teaching with technology
- co-convened course (graduate and undergraduate)
- Honors Program course
- individualized instruction
- capstone course
- supervise thesis or masters project and/or dissertation

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- writing intensive course without a reader grader
- studio classes
- courses in emerging areas of knowledge and practice
- course delivery mode
- development, design and teaching a new course
- major course revision, including redesign for the web
- standards for accreditation that may govern teaching/student-related activities

Any adjustments to teaching load based upon these responsibilities should be proportional to the workload required to complete them and must be documented in the faculty member's Statement of Expectations.

4.2.4. **Scholarly/Creative Activity**

Scholarly and/or creative activities comprise an important part of tenured and tenure-eligible faculty workloads and serve as vital contributions to the mission of Northern Arizona University. Scholarly and/or creative activities enhance teaching, advance knowledge, contribute to public service, enrich educational and research opportunities, and provide a training forum for undergraduate and graduate students alike. Faculty members are promoted and tenured because they have distinguished themselves as both teachers and scholars and show evidence that they will continue to contribute at high levels to scholarship, research, teaching, and service. NAU's exemplary teacher-scholar model implicitly recognizes the synergy and mutuality of these combined intellectual endeavors.

The following paragraphs define scholarly and/or creative activities and suggest typical workload allocations for these activities. Because colleges, departments, and units vary widely in their goals and missions, no single definition or workload allocation will apply campus wide. Hence, these paragraphs serve only as guidelines to be used in developing departmental and college-level expectations for scholarship. The guidelines are aimed at 1) facilitating tenure/promotion success among tenure-track faculty and 2) encouraging sustained scholarly activities among tenured and other faculty.

4.2.4.1 *Definition of Scholarly/Creative Activities*

Scholarly and/or creative activities are activities that lead to tangible, original works, performances, or other contributions. In turn, these works expand the knowledge base of their respective disciplines, extend the discipline into new fields of application, and/or improve teaching in their discipline by the dissemination of pedagogic scholarship.

Results of scholarly and creative endeavors must be made available to students, colleagues, and the general public. The forms of dissemination are many, varied, and changing and include print and web-based journal articles, monographs, books, edited volumes, chapters in books, poster presentations, presentations at professional meetings, presentations at regional or local meetings, development of new curricula, publication of instructional improvements or new methodologies, review, performance, and professional exhibitions. Scholarly recognition may come from invited presentations, awards in juried exhibitions, submission and funding of competitive grants, fellowships, invited participation on national panels, election to executive boards of professional organizations, invitations to join editorial boards of scholarly journals, and awards from professional organizations.

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4.2.4.2 *Guidelines for Workload Policies for Scholarly/Creative Activities*

Faculty members with research, creative, and/or scholarship expectations should, whenever possible, have three hours of credit hour workload a semester devoted to such endeavors. Normally the workload for full-time, tenured or tenure-eligible faculty will not fall below 20% of their workload allocation effort on research and/or creative activity.

Faculty members who are active and productive in their fields are normally assigned between 20 to 50% allocation of effort for scholarly and/or creative activities. The unit may permit formal “buy-out” or additional assignment of effort to scholarly/creative activity in exchange for AY salary from a grant or contract on a limited basis, with the exception of sabbaticals (See COFS 1.7.1). Allocation of scholarly effort at 100% should only occur in the case of sabbaticals, but can also be negotiated with the chair or unit director, FSC, and dean as determined by specific departmental needs and missions.

The following factors may be considered when deciding on appropriate workload allocations for scholarly and/or creative activities:

- Statement of Expectations of the faculty member, including requirements for promotion and/or tenure
- Participation in externally funded and/or non-funded activities
- Participation in graduate (MA, MS, PhD) versus undergraduate programs
- Participation in administrative responsibilities
- Prior productivity (e.g., to promote sustained high levels of productivity)

4.2.5 **Service Activity**

Service activities, together with teaching/student-related activities and scholarship/creative activities, comprise the three core responsibilities of a public university. To this end, the University promotes and supports active contributions to service by its faculty. Service contributions take place both within the University (at departmental, College, and University levels) and outside of the University (at professional and community levels). Service to community groups and to local, state, national, and international governmental groups not only provides these organizations with faculty expertise but also helps to fulfill the University's mission of service to the State of Arizona and beyond. These various service activities are consistent with expectations defined by ABOR Policy 6-201, section G and the NAU Conditions of Faculty Service, section 1.4.5.1).

Faculty service on unit and University committees and participation in administrative tasks are essential to the effective functioning of the University, as is the mentoring of junior faculty colleagues. Thus, the scope of Northern Arizona University's activities makes it appropriate for members of the faculty to engage in many activities in addition to their responsibilities to teaching/student-related and scholarly/creative activities.

4.2.5.1 *Definition of Service Activities*

Service activities typically include participation in unit and University committee work and other administrative tasks. In addition, faculty may perform service activities for schools, industry, local, state, and national agencies, and for the public at large. Leadership of professional organizations and participation in other professional activities such as reviewing works submitted to professional journals or conferences or serving on professional editorial boards are also important to the mission of the University, as well as to the advancement of one's profession or discipline.

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The University recognizes the importance of faculty service activities that promote and support cultural diversity within the University. Faculty members are also expected to participate in the life of the University by attending various activities on campus or in the community, and University-wide functions such as commencement, school/College convocations, and department/College/University colloquia. Many faculty are also directly involved in activities that promote the recruitment and retention of students.

4.2.5.2

Guidelines for Workload Policies for Service Activities

Consistent with meeting the various needs of the University, service obligations typically range from 10-20% of the annual faculty workload overall. The specific distribution and evaluation of these efforts is left to the discretion of each academic unit as described in its statement of criteria and standards for retention, promotion, and/or tenure and the unit workload policy. Faculty members are expected to provide appropriate documentation of their service activities, including level of involvement and accomplishments, in their portfolio for the annual review of their performance.

4.3

Faculty Teaching Summer and/or Winter Sessions

Northern Arizona University offers both summer and winter programs designed to meet the educational needs of the full-time student body and part-time students. Traditional and on-line courses as well as workshops of a special nature are offered in several calendar formats. Faculty members are not guaranteed assignments for summer and/or winter sessions.