

DRAFT

3/25/09

**LAWS, BY-LAWS AND RULES OF THE
UNIVERSITY OF CONNECTICUT**

ARTICLE I – Board of Trustees

The functions of the Board of Trustees are legislative and not executive. The Board appoints the President; determines the general policy of the University, including the establishment of new schools and colleges; makes laws for its government; manages its investments; and directs the expenditure of funds. It shall be the duty of each Trustee to attend all meetings.

ARTICLE II – Organization of the Board of Trustees

- A. The corporate authority of the University of Connecticut is vested in a Board of Trustees.
- B. ~~Officers of the Board shall be elected at the July meeting~~ Election of officers of the Board shall be conducted once a year.
- C. The yearly schedule of regular meetings of the Board of Trustees shall be filed in advance in the Office of the Secretary of the State, as required by Statute. Prior written notice of any change in the scheduled time or location of a regular meeting shall be published and filed as required by Statute.
- D. Special meetings of the Board of Trustees shall be called by the Chair upon the written request of at least five members.
- E. A written notice of regular meetings shall be sent mailed to each member at least one week before the date set for the meeting.

Special meetings may be held no less than twenty-four hours after officially requested. Notice of special meetings shall specify the time and place of the meeting, and the business to be transacted. Written notice of special meetings must be delivered-sent to each Board member prior to the special meeting.

Emergency special meetings may be convened at any time without formal notice requirements.

- F. A majority of the current membership of the Board shall constitute a quorum for the transaction of all business.
- G. Ordinarily the last March Board meeting of the Board spring semester shall be the regular meeting for the recommendations by the Provost and Executive Vice President for Academic Affairs of for promotion of faculty members of the faculty and staff and for the award of academic tenure. The President, for those units and individuals reporting to him or her/him/her, or the Provost and Executive Vice President for Academic Affairs Provost,

Comment [dbm1]: Because FOIA law changes from time to time, omit reference to such to avoid necessity to update by-laws each time. The Board is required to follow the law in any event.

~~or the Vice Presidents are authorized to appoint and to reappoint, from time to time, members of the faculty and professional staff who are in positions which do not lead to tenure or who are serving probationary appointments in positions which would ultimately lead to tenure. Appointments to positions not leading to tenure and reappointments of those in probationary positions. Such appointments and re-appointments will do not require prior action by the Board, but will be reported to them. for their information.~~

~~Written notice of special meetings must be delivered to the residence of each Board member prior to the special meeting. This requirement may be dispensed with by the filing of a written waiver with the secretary of the Board at or prior to the meeting. The delivery is dispensed with as to any member actually present when the meeting is convened.~~

~~Persons charged with responsibility for convening special or emergency meetings of the Board of Trustees should be aware of the following information:~~

~~Section 1-225 (formerly Sec. 1-21) of the Connecticut General Statutes requires that notice of each special meeting be given not less than twenty-four (24) hours prior to the time of such meeting. Notice must be posted in the office of the Secretary of State. Notice must include the time and place of the special meeting as well as the business to be transacted.~~

~~In case of emergency a special meeting may be held without complying with the foregoing requirement for the posting of notice, but a copy of the minutes of every such emergency special meeting, adequately setting forth the nature of the emergency and the proceedings occurring at such meeting, shall be filed with the Secretary of State not later than seventy-two (72) hours following the holding of such meeting. No business shall be considered other than that noticed, or in the case of an emergency special meeting, other than issues related to the emergency.~~

Comment [dbm2]: Moved below and abbreviated

Comment [dbm3]: Compliance with statutory meeting notice requirements is assumed and need not be stated in the by-laws.

ARTICLE III – Rules of Procedure and Order of Business of the Board of Trustees

A. General parliamentary rules, except as modified by the rules and regulations of the Board, shall be observed in conducting the business of the Board in session.

B. So far as practicable, ~~the following order of business shall be observed at all~~ the order of business for regular meetings of the Board shall be set by the Secretary to the Board and shall follow a standard format.

~~Consideration of the minutes of the last meeting.~~

~~Election of officers.~~

~~Reports and recommendations of the President of the University.~~

~~Reports of committees.~~

~~Consideration of communications and petitions.~~

~~Unfinished business.~~

~~Miscellaneous or new business.~~

C. Recommended adjustments to tuition and fees shall be developed and presented to the Board for action during the academic year. **Prior to making such recommendations,** the process shall provide an opportunity for campus community comment upon the recommended actions.

D. Public Participation

Under the conditions described below the Board shall hear brief oral presentations from members of the public who wish to express ~~their~~ views on issues pending before the

Comment [dbm4]: The agenda of all Board meetings follows a consistent format. However, it may be changed from time to time. Eliminating in the by-laws a fixed format, permits the Board to adjust the order of business as necessary.

Comment [dbm5]: Though assumed, the added language clarifies the timing of the required comment.

Board or on other issues of concern to the University. The agenda for each regular public meeting of the Board shall allot up to thirty minutes for this purpose:

1. Requests to address the Board shall be made to the Chair or the Executive Secretary of the Board prior to the public meeting. In signing up to address the Board, each speaker shall specify the topic on which he/she wishes to remark.
2. The Chair of the Board shall recognize each speaker in the order of signing up, shall request proper identification, and shall use ~~the discretion of the Chair~~ in requiring adherence to such individual and total time limits as will permit the orderly progress of the Board through its agenda.
3. At a special meeting of the Board, comment by members of the public shall be limited specifically to the subject described in the call of the special meeting.

ARTICLE IV – Officers of the Board of Trustees

A. The officers of the Board of Trustees, apart from the Governor, who is President *ex officio*, shall be a Chair, Vice-Chairs, and a Secretary.

B. The duties of the Chair shall be as follows:

1. To call special and emergency meetings of the Board when necessary.
2. To preside, in the absence of the Governor, at all meetings.

The Chair is privileged to make or discuss motions, and to vote on all questions.

C. The chairs of all standing committees shall be designated vice-chairs of the Board of Trustees. At the Board's annual organization meeting ~~in July~~, the Chair of the Board of Trustees shall designate a vice-chair who shall act for the Chair of the Board of Trustees in case of his/her absence or incapacity.

Comment [dbm6]: This is typically held in September but eliminating a fixed Board date permits flexibility in scheduling the organizational meeting.

D. The duties of the Secretary shall be as follows:

1. ~~To send, or cause to be sent, a notice of all meetings to each member of the Board at least one week before the date set for the meeting~~ notify all members of the Board of Trustees of all regular meetings at least one week in advance.
2. To call meetings of the Board in the absence of the Chair and vice-chair designated by the Chair to act in his/her absence.
3. To call meetings of the Board in case the Chair fails to do so, upon receipt of a written request of at least five members of the Board.
4. To keep a record of all meetings and transmit a copy of the minutes of each meeting to every member of the Board at least one week prior to the next meeting.

Comment [dbm7]: Revision is intended to recognize that notices may be issued by email as well as other forms of delivery.

ARTICLE V – Committees of the Board of Trustees

A. The Board shall act as a committee of the whole on all matters requiring action with the exception of those listed in items B, D, and E below.

B. Executive Committee

1. Membership

The Executive Committee shall consist of the Board Chair and the chairs of all the Board's standing committees. The President shall serve as an ex officio nonvoting member. The Chair of the Board shall chair this committee. A simple majority shall constitute a quorum. It shall meet at such times as deemed necessary ~~at by~~ the Chair's ~~discretion~~.

2. The Executive Committee shall exercise in emergencies all the authority of the Board of Trustees, consistent with the policies of the Board or with any action taken earlier by the Board. For purposes of executive committee action, a matter shall be deemed an emergency circumstance when delaying action until the full Board's next meeting could result in significant risk, expense or disruption to the University or its operations.

3. The committee shall not preempt the Board except in those emergency circumstances that do not permit the handling of a matter in the normally prescribed manner by the Board, and shall report to the full Board any action taken at the next regular meeting of the Board.

C. The Board may appoint from time to time such special or standing committees as may be necessary to make studies or preliminary investigations necessary for determining Board action. Special committees are automatically discharged when their reports are acted upon by the Board.

D. The committee of the Board of Trustees having cognizance over financial matters is authorized to buy and sell securities and the Chair of this committee is authorized to instruct the Vice President and Chief Financial Officer or the University Controller to execute the necessary assignment.

E. A standing committee shall be established with jurisdiction over the University of Connecticut Health Center, ~~the Schools of Medicine and Dental Medicine including its schools~~ and the John Dempsey Hospital, and its core administrative units.

1. The name of the committee will be "Board of Directors of the University of Connecticut Health Center."

2. Authority

a. The Board of Directors is authorized to approve the following:

- i. Grants, contracts and indemnifications.
- ii. Compensation plans and labor contracts.
- iii. Faculty promotion, tenure, reappointments, and sabbatical leaves.

- iv. Medical staff appointments.
- v. Adjudication of all issues including but not limited to faculty grievances related to award of promotion, tenure, reappointments, compensation and merit or incentive pay.
- vi. Staffing levels.
- vii. Business contracts and arrangements.
- viii. General operating policies and by-laws related to operations, administration and clinical affairs.
- ix. Space allocations.
- x. Strategic planning.
- xi. New academic programs or the elimination of academic programs.
- xii. Changes in by-laws of the Schools of Medicine and Dental Medicine.

b. The Board of Directors will act in an advisory capacity to the Board of Trustees in the following areas:

- i. Annual operating budget.
- ii. Annual capital budget.
- iii. Changes in the fundamental mission of the University of Connecticut Health Center.
- iv. Development and fundraising program.
- v. Declaration of fiscal exigency, closure of academic departments and/or changes in policies related to tenure.
- vi. Any areas stated in state statute that specifically require the Board of Trustees to act as a committee of the whole.

3. *Membership*

The Board of Directors of the University of Connecticut Health Center shall have 18 members.

a. *Terms*

With the exception of the President of the University, the Secretary of the Office of Policy and Management, and the Commissioner of the Department of Public Health, members will serve for three year staggered terms. Members may serve a maximum of two full terms as a regular member plus a maximum of two additional terms when serving as an officer. Initial appointment to fill the balance of a vacant

~~term shall not count toward the maximum of two full terms.~~ Officers will include the Chair, vice-chair/secretary, and treasurer.~~who will serve as the Board of Directors Finance subcommittee chair.~~

Comment [dbm8]: Moved from below

b. *Appointment process*

- i. One member appointed by the Chair of the Board of the Trustees. This member will chair the Board of Directors.
- ii. Two members from the Board of Trustees appointed by the Chair of the Board of Trustees.
- iii. The President of the University. This appointment runs co-terminus with the position of the President.
- iv. Three members appointed by the Governor.~~The initial terms of the first appointees shall be 1, 2 and 3 years respectively. Subsequently, each appointment shall be for a term of three years.~~
- v. The Secretary of the Office of Policy and Management or a deputy undersecretary designated by the Secretary. This appointment runs co-terminus with holding the position of Secretary.
- vi. The Commissioner of the Department of Public Health. This appointment runs co-terminus with holding the position of Commissioner.
- vii. Nine additional members to be selected by a nominating committee.~~Membership of the nominating committee. The first nominating committee shall consist of the members of the Health Affairs Committee, the Chair of the Board of Trustees, the President of the University, and the Executive Vice President for Health Affairs. Subsequently,~~ The members of the nominating committee will be chosen by the Board of Directors and shall include the Chair of the Board of Trustees and the Vice President for Health Affairs as voting members.~~All terms will be for three years. An initial term of two or less years shall not count toward the term maximums.?~~

Comment [dbm9]: Language no longer needed

Comment [dbm10]: Outdated language.

4. *Subcommittees*

The Board of Directors may establish standing subcommittees or ad hoc committees as needed.

a. *Membership*

- i. The Board of Directors shall appoint the members of its subcommittees.
- ii. With the exception of the Peer Review Committee, a minimum of one-half of the voting membership shall be comprised of Board of Directors members.
- iii. The Board of Directors may appoint non-voting members to its subcommittees.

b. *Peer Review Committee*

i. The Peer Review Committee will also be known as the “Joint Conference Committee.”

ii. The sole topics of discussion shall be those that require confidentiality protection.

Comment [dbm11]: Review vis a vis FOIA

iii. Peer Review Activities

The Board of Directors functions in some of its activities as a Medical Review Committee conducting peer review as defined in Chapter 368a of the Connecticut General Statutes, as amended from time to time. When acting as a Medical Review Committee, the Board reviews and acts on reports or recommendations from peer review committees of the hospital or medical staff and participates in the evaluation of the quality and efficiency of health care services ordered and performed, including, but not limited to, review of the credentials, qualifications and activities of medical staff members, or applicants; evaluating and improving the quality of health care services rendered; analyzing clinical practices within the hospital; reviewing studies of utilization and medical audits; reviewing studies of morbidity and mortality; and reviewing analysis of sentinel events or potential claims. When the Board, or its officers, committees or subcommittees on its behalf, participate in these or similar studies, reviews, discussions and actions, the Board is a Medical Review Committee conducting peer review. Proceedings of such peer review activities conducted by the Board, including data and information gathering and analyses and reporting by authorized individuals for the primary purpose of these peer review activities, as well as minutes and other documents from meetings or portions of meetings addressing peer review, shall be kept strictly confidential.

iv. Reports of the Peer Review Committee shall be presented to the Board of Directors in executive session only.

c. Authority of subcommittees

The subcommittees will report to the Board of Directors. The Board of Directors may delegate selected duties and authority as it deems necessary and appropriate to a subcommittee if such authority is approved at any regular meeting of the Board of Directors by a recorded majority vote.

~~Two members of the University of Connecticut Health Center Board of Directors shall serve as voting members on the committee of the Board of Trustees having cognizance over financial matters. These members from the Board of Directors may not be Board of Trustees members.~~

Comment [dbm12]: This clause was never put into practice. May also be inconsistent w state statute on BOT membership

~~ARTICLE VI – Restrictions on Purchasing Sources~~

~~A. No equipment or supplies for the University of Connecticut shall be purchased from any Trustee of said institution, nor from any partnership in which any Trustee may be a member, nor from any corporation of which a Trustee of said institution, or any member of a Trustee's family shall be a substantial stockholder.~~

Comment [MCJ13]: We struck this section with the intention of including a statement on conflict of interest elsewhere

ARTICLE VI – President of the University

- A. The President ~~of the University~~ is the chief executive ~~and administrative officer~~ of the University. In this capacity the President is responsible for carrying out and enforcing all policies and regulations adopted by the Board for the operation of the University and is given authority requisite to that end.
- B. The President may participate in all discussions in Board meetings, but shall not vote. The President is an *ex officio* member of all committees of the Board, but shall not vote.
- C. **The duties of the President shall be as follows:**
1. To attend all meetings of the Board except when the Board requests otherwise.
 2. To submit to the Board from time to time such recommendations and information concerning any phase of University policy or administration as may seem necessary to the best interests of the University.
 3. To appoint, direct, and guide those members of the University staff who report to him/her.
 4. To call and preside over meetings of the University Senate.
 5. To oversee the development, implementation and regular updating of the University's Strategic Plan.
 6. To appoint such committees as he/she deems necessary, and define their duties.
 7. To act as the official medium of communication between the Board of Trustees and University officers and staff members.
 8. ~~To approve a list of students recommended for graduation by the faculties of the various schools and colleges. To sign diplomas of students certified for graduation shall be signed by the President of the University.~~
 9. To summarize and coordinate the budget estimates submitted by schools, colleges, divisions, and departments, and in consultation with the Provost and Executive Vice President for Academic Affairs and the Vice Presidents, prepare a budget adjusted to the income and the needs of the University.
 10. To preserve at the University all papers and records ordered on file by the Board.
 11. To present to the Board for prior approval the annual budget for each fiscal year.
 12. To be the official representative of the Board of Trustees in all matters affecting the University which come before the General Assembly.

13. To be the official representative of the Board of Trustees in all matters affecting the University which involve other departments of State Government, or relations with the Federal Government.
14. To provide leadership in external relations, development and fundraising.
15. To prepare such reports as are required by the Board, the State, and the Federal Government.
16. To make such organizational changes in University structure as do not affect degree programs or majors, and report these matters to the Board at the next Board meeting. All actions involving the degree programs and the structure of schools and colleges will be brought to the Board for approval.

D. The Division of Athletics is directly responsible to the President

Comment [C14]: Does this section belong here?

It is the function of the Division of Athletics:

1. To organize and carry out programs of athletic sports activities intended to meet the health and recreational needs of students and staff members.
2. To cooperate with the Department of Student Health Services in determining the students whose athletic and sports activities should be especially restricted.
3. To foster athletic and sports activities in line with good health and citizenship between this institution and competing institutions, and in the whole area of public relations.

E. The President shall consult with the senior officers of the University and such other members of the administration as he/she may convene, on matters of University policy and procedure as he/she feels appropriate.

ARTICLE VII – The Provost and Executive Vice President for Academic Affairs and the Vice Presidents

A. The Provost and Executive Vice President for Academic Affairs and the Vice Presidents report to the President. ~~who provides direction in the guidance and general supervision of the programs of the University which are assigned either directly to them or to the organizational components which report to them.~~ They shall give direction and assistance to the deans and directors with respect to their administrative duties and shall accept such other responsibilities as may be assigned to them by the President.

~~They shall give direction and assistance to the deans and directors in respect to their administrative duties and shall accept such other responsibilities as may be assigned to them by the President.~~

B. Provost and Executive Vice President for Academic Affairs

1. The Provost and Executive Vice President for Academic Affairs (hereafter referred to as ‘the Provost’) is the chief ~~operating~~ academic officer and in this capacity is

~~responsible for managing the academic operations of the University. and in this capacity is responsible for managing the operation of the University except for those areas under the direct supervision of the President or the Vice Presidents. He or she is the coordinator and supervisor of all of the University's programs of instruction and research, except for those aspects assigned to the Vice Presidents. He/she~~ also coordinates the formulation of policies and administration of all schools, colleges, divisions, institutes, and regional campuses of the University.

2. *The Provost shall:*

- a. Serve as Acting President in the absence of the President and be a member of the President's cabinet.
- b. Attend all meetings of the Board of Trustees, except when the Board requests otherwise. He/she may participate in discussions but shall not vote.
- c. Appoint those members of the University faculty and staff who report to him/her.
- d. Preside at meetings of the Council of Deans.

e. Be a member of the University Senate, preside in the absence of the President at its meetings, arrange the schedule of its regular meetings, interpret in collaboration with the President, its By-Laws, rules, and regulations, administer its rules and regulations in ways designated by consultation with the Senate, and be a member of all its standing committees.

f. Be a member of all the faculties of all Schools and Colleges.

~~Supervise the negotiation of collective bargaining agreements with all professional staff of the University, and coordinate the carrying out of the Board of Trustees' responsibilities under those contracts, except those under the supervision of the Vice Presidents.~~

g. Be responsible for those University catalogs ~~with programs under his or her jurisdiction.~~

h. Conduct such studies and promote such activities in the University, in those components of the University under his or her supervision, as will result in effective educational and research programs.

i. Disseminate among members of the University faculty and staff such information as will promote the understanding, integration, and coordination of the education program of the University.

~~For components of the University not specifically organized under the supervision of the President or the Vice Presidents, The Provost and Executive Vice President for Academic Affairs shall:~~

Comment [dbm15]: Align with practice Overseen by VP/COO

Comment [dbm16]: Ultimately the President is responsible for the entire Univ.

- j. Approve the selection and adjustment in service of all personnel under his or her jurisdiction and make recommendations for promotion and/or tenure to the Board of Trustees or the Board of Directors as appropriate.
- k. Eliminate so far as possible unnecessary overlapping and duplication in the offerings, functions and services of the academic parts of the University.
- l. ~~Carry on continuing studies of~~ Evaluate the effectiveness of personnel in the teaching, research, and administrative programs.
- m. Assist deans and directors of divisions in preparing budgets, and recommend budgets and budget adjustments for the several schools, colleges, and divisions to the President.
- n. Serve as ~~an the~~ appellate ~~agency agent~~ for students or staff members in appeals from decisions of deans or directors. The Provost or his/her designee ~~would shall~~ serve ~~as the~~ appellate ~~agency agent~~ for decisions made within the parameters of the *Student Code of Conduct*, which would result in the suspension or expulsion of a student for non-academic reasons.

o. Arrange the schedule for regular meetings of the faculties of schools and colleges under his or her jurisdiction and preside at such meetings.

p. Interpret the by-laws, rules and regulations of the schools and colleges under his or her jurisdiction.

~~Grant leaves of absence to members of the professional staff in conformity with the rules and regulations of the Board of Trustees in those components of the University under his or her supervision; and, in granting leaves of absence without pay, designate whether such leaves were or were not granted for educational purposes in conformity with the State statutes and the policies of the Board of Trustees; and coordinate the discharge of this responsibility by the Vice Presidents where appropriate.~~

Comment [dbm17]: Routine managerial responsibility; need not be articulated in by-laws.

~~Grant permission to consult or to accept other outside employment to members of the professional staff, in conformity with the rules and regulations of the Board of Trustees; and coordinate the discharge of this responsibility by the Vice Presidents where appropriate.~~

Comment [dbm18]: Same rationale as in q. above.

q. Direct the assignment of all plant facilities, including buildings, offices, classrooms, laboratories, equipment, and land, and establish uniform rules pertaining to their proper use for all areas under his or her jurisdiction. except for those areas under the jurisdiction of the Vice Presidents.---

Comment [dbm19]: Modifies wording slightly

~~Be a member of the President's cabinet.~~

Comment [dbm20]: Moved above

C. Vice President for Health Affairs

The Vice President for Health Affairs may also be the Dean of the School of Medicine. He/she is the executive director of the University's Health Center and chief operating

officer, except for those operations that report to the Provost, subject to policies established by the Board of Trustees. At all times, he/she is responsible and accountable to the President for the implementation and execution of administration at the University Health Center.

1. The Vice President for Health Affairs is the coordinator of the University's programs of health care performed by the University Health Center, including the Schools of Medicine and Dental Medicine, and the John Dempsey Hospital. He/she is responsible to the President for the coordination and formulation of policies and administration of administrative, business and other support departments of the University Health Center.

2. *The Vice President for Health Affairs shall:*

- a. Be a member of the President's cabinet and the University Senate.
- b. Attend all meetings of the Board of Trustees, except when the ~~Board-President~~ requests otherwise. He/she may participate in discussions, but shall not vote.
- c. Appoint those members of the University staff who report to him/her.
- d. Be a faculty member in the Schools of Medicine and Dental Medicine.
- e. Approve the selection and adjustment in service of all personnel under his or her jurisdiction.
- f. Assist in preparing budgets, and recommend budgets and budget adjustments for those units that report to him/her.
- g. Be responsible for all monies and funds of the University Health Center regardless of their source. He/she shall make provision for the safekeeping of such monies and funds, and for an accurate accounting of their receipt and expenditure.
- h. Submit regular reports to the President and to the Board of Trustees showing the financial condition of the University Health Center and all of its constituent parts; and submit an annual statement showing the assets and liabilities of the various funds of the University Health Center.
- i. Make such reports to the State Comptroller or to other State or Federal officials as may be required on the inventories, property, and financial operations of the University Health Center.
- j. Serve as ~~the~~ appellate ~~agency agent~~ for staff members in appeals from decisions of staff supervised by him/her.
- k. Supervise ~~In collaboration with the Vice President and Chief Operating Officer,~~ supervises the negotiation of collective bargaining agreements for the professional staff at the University Health Center, and coordinate the carrying out of the Board of Trustees' responsibilities under those contracts.

1. Direct the assignment of all plant facilities, including buildings, offices, classrooms, laboratories, equipment, and land, and establish uniform rules pertaining to their proper use, for all areas under his or her jurisdiction.

~~Be a member of the President's cabinet~~

Comment [dbm21]: Moved above

D. Vice President and Chief Financial Officer

1. The Vice President and Chief Financial Officer is the chief financial officer of the University. Reporting to the President, he/she is responsible for overseeing long-range financial planning and management of the operating and capital budgets for all units of the University. Working closely with the Provost and the other Vice Presidents, the Vice President and Chief Financial Officer oversees capital and operating budget development, monitoring and reporting; coordinates operating and capital budgets in conformity with policies set forth by the Board of Trustees; develops financial policy and plans; serves as point of contact for external agencies and partners on financial matters; acts as the President's representative on financial matters to University units and constituencies; and generally promotes the financial health and stability of the University. The officers charged with budget oversight and coordination at the Storrs-based programs and the University Health Center report to the Vice President and Chief Financial Officer.

2. *The Vice President and Chief Financial Officer shall:*

- a. ~~Be a member of the President's cabinet and the University Senate.~~
- b. ~~Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions but shall not vote.~~

~~Attend all meetings of the Board of Trustees, except when excused by the President or when the Board requests otherwise. He or she may participate in discussions but shall not vote.~~

- c. In consultation with the President, approve the selection and adjustment in service of all personnel under his or her jurisdiction.
- d. Assist the President in the preparation of the University budget and coordinate the activities of the Provost, the Vice Presidents, and other University officers in preparation of those components of the budget that are under their jurisdiction.
- e. Be responsible for all monies and funds of the University, regardless of their source. He/she shall provide for the safekeeping of such monies and funds, and for an accurate accounting of their receipt and expenditure.
- f. Ensure the timely completion of combined University of Connecticut financial statements. Submit regular reports to the President and, through the President, to the Board of Trustees showing the financial condition of the University and all of its constituent parts; and submit an annual statement showing the assets and liabilities of the various funds of the University.

- g. Make such reports to the State Comptroller or to other State or Federal officials as may be required on the inventories, property, and financial operations of the University.
- h. Manage and coordinate the University's responsibilities pertaining to bond financing of capital projects.
- i. Provide support to the President, the Provost, the other Vice Presidents, and those reporting to the Office of the President by providing fiscal planning, coordination, and financial analysis.
- j. Oversee or monitor the execution of major financing agreements.
- k. Administer such support units of the University as the President may designate.

Be a member of the President's cabinet and the University Senate.

Comment [dbm22]: Moved above

E. Vice President and Chief Operating Officer

1. The Vice President and Chief Operating Officer is the University's chief business and operations officer. Working closely with the Provost and the other Vice Presidents, the Vice President and Chief Operating Officer oversees construction, renovation, operation, logistics and security of the University's physical plant; human resources, labor relations and payroll; purchasing; information technology; business services; and public and environmental safety. The Vice President and Chief Operating Officer is responsible for the formulation of strategy and policies to ensure effective administration, sound business practices, safety and regulatory compliance within these areas, in conformity with policies established by the Board of Trustees; serves as the University's point of contact for external agencies and partners on business and operational matters; acts as the President's representative on business and operational matters to University units and constituencies; and generally promotes the operational excellence of the University.
2. *The Vice President and Chief Operating Officer shall:*
 - a. Be a member of the President's cabinet and the University Senate.
 - b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions but shall not vote.
 - c. Assist the President in preparation of strategic and tactical operations, plans and initiatives, and coordinate the activities of the Provost and the other Vice Presidents in the preparation of similar plans for operational units that are under their jurisdiction.
 - d. In consultation with the President, approve the selection and adjustment in service of all personnel under his or her jurisdiction.

e. Supervise the negotiation of collective bargaining agreements with all professional staff of the University, and coordinate the carrying out of the Board of Trustees' responsibilities under those contracts.

Comment [dbm23]: Moved from Provost's area to align with practice.

- f. Be responsible for the development, renovation, maintenance and safekeeping of the physical assets of the University, regardless of their source.
- g. Manage and coordinate the University's responsibilities pertaining to construction and renovation of facilities.
- h. Direct the University's purchasing and contracting programs.
- i. Provide executive leadership for the University's information technology initiatives and organization.
- j. Provide support to the President, the Provost, and the other Vice Presidents in development of operational strategy, planning, coordination, and analysis.
- k. Administer such support units of the University as the President may designate.

Attend all meetings of the Board of Trustees, except when excused by the President or when the Board of Trustees requests otherwise.

Comment [dbm24]: Moved above

F. Vice President for Student Affairs

1. The Vice President for Student Affairs is ~~responsible jointly to the President and the Provost, shall be~~ the chief student personnel officer of the University, and shall supervise ~~supervises~~ the work of the Division of Student Affairs and the Division of Health Services, and reports to both the President and the Provost.

2. *The Vice President for Student Affairs shall:*

- a. Be a member of the President's cabinet and the University Senate.
- b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions but shall not vote.
- c. Approve the selection and adjustment in service of all personnel under his/her jurisdiction.
- d. Assist deans, directors, and department heads in preparing budgets, and recommend budgets and budget adjustments in his/her area to the Provost.
- e. Serve as an appellate agency for students or staff members in appeals from decisions of deans or department heads supervised by him/her.

~~Be a member of the President's cabinet.~~

G. Vice President for Research

1. The Vice President for Research is the University's chief research officer, reporting jointly to the President and Provost. Working closely with the President and the Provost, as well as other Vice Presidents and deans, the Vice President for Research is responsible for the research enterprise and the coordination of research-related operations across the University of Connecticut system (i.e., its regional campuses, School of Law, School of Social Work, Graduate Business Learning Center, and University of Connecticut Health Center, including the School of Medicine and the School of Dental Medicine). The responsibilities of the Vice President for Research include compliance functions, sponsored programs, internal funding programs, animal research services, as well as overseeing the University's economic development and technology transfer activities and several university research centers.

2. *The Vice President for Research shall:*

~~a. Be a member of the President's cabinet and the University Senate. Attend all meetings of the Board of Trustees, except when the Board requests otherwise. She or he may participate in discussions, but shall not vote.~~

~~b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions but shall not vote.~~

c. In consultation with the President and Provost ~~and Executive Vice President for Academic Affairs~~, approve the selection and adjustment of service of all personnel under ~~his/her~~ jurisdiction.

d. Provide executive leadership for the University's research and economic development initiatives, including working with the President, Provost, and other Vice Presidents to create, implement, and regularly assess progress on a University-wide research agenda.

e. Administer such centers and institutes related to research and economic development as the President and Provost may designate.

f. Act as an advocate for the University's research enterprise and economic development initiatives to constituencies inside and outside the University.

g. Manage the University's responsibilities pertaining to regulatory compliance in research activities.

h. Oversee the execution of research grants and contracts.

i. Oversee policies and administration of the University of Connecticut Research Foundation.

~~Be a member of the President's Cabinet and the University Senate.~~

Comment [dbm25]: Moved above

ARTICLE VIII – The University Administration

~~The University shall in all its activities represent the highest and most unselfish form of service.~~

Comment [dbm26]: This value is reflected in the University's Code of Conduct

The administration of the University is determined in part by legislative enactment, in part by the Laws and By-Laws of the Board of Trustees, and in part by regulations made by the President, the University Senate, and the several faculties.

A. Officers of Administration

1. *Central*

a. President

b. ~~The~~Provost

c. Vice Presidents

2. *Schools, Colleges, Divisions, Institutes and Centers, and Departments*

Each school, college, division, institute, and center shall have a dean or director ~~and such other administrative assistants as are authorized by the President and the Board of Trustees.~~

Each department shall have an executive officer, (the head ~~or chair~~).

Comment [dbm27]: Reflects terminology used at UCHC

Each administrative officer shall submit to the President such reports as are requested by the President.

~~The Council of Vice Presidents~~

~~The Council of Vice Presidents shall consist of all the Vice Presidents and the Provost and Executive Vice President for Academic Affairs who shall convene the Council.~~

Comment [dbm28]: Align with practice

~~The Council shall serve as an advisory body to the Provost and Executive Vice President for Academic Affairs in such matters as may be brought before it by the Provost and Executive Vice President for Academic Affairs or any other member of the Council.~~

B. The Council of Deans

1. The Council of Deans shall consist of the deans of the schools and colleges, and such others as the Provost deems appropriate. The Provost shall convene the Council.

2. The Council shall provide a forum in which the members may discuss matters of common interest.

C. The Trustee-Administration-Faculty-Student Committee

1. *Membership*

The Trustee-Administration-Faculty-Student (TAFS) Committee shall consist of the members of the committee of the Board of Trustees having cognizance over academic matters; the President; the Provost; the Vice Presidents; the members of the Senate Executive Committee; the President, Undergraduate Student Government; the President, Student Union Board of Governors; the Chair, Residence Hall Advisory Board; the President, Graduate Student Senate; and such other individuals serving in a non-voting capacity as may be designated.

The Chairperson of the TAFS Committee shall be appointed by the President.

Comment [dbm29]: The Committee is called by the President on behalf of the BOT

2. *Functions*

The TAFS Committee shall serve as a conference committee to facilitate communication among the groups represented thereon, and shall serve as an advisory body to the Board of Trustees on matters where Board action is requested by faculty or student groups and on any others matters which the Board deems appropriate.

3. The TAFS Committee shall meet at least once a year, with the first meeting called by the President. Subsequent meetings shall be convened by the chairperson of the TAFS Committee, when he/she deems it necessary or at the request of constituent unit members.

~~The TAFS Committee shall meet at least once a year, with the first meeting called by the President no later than October of the new academic year. Subsequent meetings shall be convened by the chairperson of the TAFS Committee, when he or she deems it necessary or at the request of constituent unit members.~~

~~The Chairperson of the TAFS Committee shall be chosen by the Committee at its first meeting each academic year.~~

ARTICLE IX – The University Senate

There shall be a University Senate which shall be a legislative body for the purpose of establishing minimum rules and general regulations pertaining to all undergraduate schools and colleges and with policy insofar as it pertains in a general way to the educational program of the institution and is not reserved to the Board of Trustees, to the administration, to the Graduate Faculty Council, or to the several faculties.

A. Membership

The University Senate shall consist of *ex officio* and elected members. The *ex officio* members shall be the President, the Provost, ~~the all~~ Vice Presidents ~~and Chief Financial Officer, the Vice President and Chief Operating Officer, the Vice President for Research, the Vice President for Enrollment Planning, Management and Institutional Research, the Vice President for Student Affairs,~~ ~~the all~~ Vice Provosts ~~for Undergraduate Education and the Regional Campuses,~~ the Associate Vice President and Chief Information Officer, ~~the Vice Provost for University Libraries, the Senior Vice Provost for Academic Administration~~ and the Associate Vice President for Human Resources and Payroll Services. These *ex officio* members shall not vote.

The Senate shall contain ninety-one elected members, as follows:

1. Three administrative officers elected by and from a group composed of the deans of the schools and colleges which are Senate electoral constituencies. Members of this group and the *ex officio* members listed above are not eligible to vote in or to be elected from any of the constituencies listed in Section B.2. or B.3. ~~below.~~
2. ~~Seventy-two~~ members of the faculty elected according to one or the other of the two faculty electoral processes described in [Section B.2.](#) below.

Comment [C30]: Requires further review by the Senate particularly regarding numbers of faculty members as noted below.

Comment [dbm31]: NOTE: All titles updated. This makes the VP for Health Affairs a member.

Comment [dbm32]: Titles omitted: Dean of the College of Continuing Studies and the Vice Provost for Library Services.

Comment [MCJ33]: How does this “72” square with the equation of 1 rep for every 30 faculty members in B.2.a below/Refer to Senate

3. Nine professional staff members elected by and from the constituencies described in [Section B.3.](#) below.
4. Five undergraduate students ([See Section B.4 below.](#))
5. Two graduate students ([See Section B.5. below](#))

B. Elections

The election of faculty and other staff members to the Senate shall normally be held between October and March and shall be conducted by secret ballot. A minimum of one week, excluding time when the University is in recess, shall be allowed between the distribution and collection of ballots for Senate elections. Those elected shall take office on July 1. All elections shall be in the charge of the Senate Executive Committee and the returns shall be certified by two inspectors of election selected by the Senate.

In any Senate election, persons eligible for election who feel unable to serve shall be given an opportunity to withdraw their names from the list of candidates for nomination. The names of those persons who have withdrawn, as well as the names of persons who are completing two consecutive terms, shall be indicated on the nominating ballot.

The ballot for the second vote (election ballot) in any Senate election must indicate the number of votes each nominee received. In addition, there must be listed the names of those persons who were not nominated but who received at least 70% of the number of votes received by the nominee with the fewest votes. After the election, the number of votes received by those persons who were elected and the number of votes received by nominees who were not elected must be made public.

The Senate Executive Committee shall retain on file the number of votes cast for each candidate in each constituency for each annual class whose term has not expired, and shall designate the available candidate with the highest vote at the last previous election in the proper constituency as the alternate to replace any senator whose place will be vacant in any semester because of resignation, retirement, or leave of absence from the University. Priority in case of tie votes shall be determined by lot. Such alternates shall be designated for one semester at a time and at the beginning of the semester unless the vacancy occurs later.

When it is known that there will be a vacancy throughout the last year or last two years of a three-year term in a constituency not otherwise scheduled to participate in a regular annual election, then that constituency will participate in order to elect a replacement to serve for the one- or two-year period remaining in the unexpired term.

The term of office of a senator shall begin on July 1 and shall extend for one year in the case of student members and for three years in the case of other elected members. Senators shall be eligible for re-election, except that a member who has completed two consecutive three-year terms shall be ineligible for re-election to serve during the year which immediately follows the period of consecutive service (which may have been extended by virtue of election to the Senate Executive Committee).

1. For purposes of electing the three administrative officers, the electors described in [Section A.1.](#) above, shall determine the procedure which they will follow.

2. Two electoral processes for faculty membership in the Senate shall be followed, (a) constituency and (b) at-large. Faculty members shall not be eligible to stand for election or to vote in the first regular election following their initial appointment to the faculty.

- a. *Faculty constituency elections*

The voting members of the faculty (see Article XI.A.) of each of the following units shall for these purposes be deemed an electoral constituency: College of Agriculture and Natural Resources, ~~School of Allied Health~~, School of Business ~~Administration~~, Neag School of Education, School of Engineering, ~~School of Family Studies~~, School of Fine Arts, ~~School~~ of Law, College of Liberal Arts and Sciences, School of Nursing, School of Pharmacy, School of Social Work, and the Avery Point, Hartford, Stamford, Torrington and Waterbury Regional Campuses. A person who is a voting member of more than one faculty will belong to only one constituency, that of the faculty in which his or her principal appointment is held.

The number of senators to be elected from each constituency will be one for each thirty faculty ~~members~~ or major fraction thereof within that constituency, with the proviso that each school, college or regional campus will have at least one senator. The faculty of a school, college or regional campus that is thus allocated more than one senator will have the option of establishing non-overlapping sub-constituencies. Senators chosen from a constituency will be elected by and from among the members of that constituency. The determination of the proper number of senators to be allocated to each constituency will be reviewed annually by the Provost. The annual schedule for electing members from each constituency shall be determined by the Provost in such a way as to provide for the optimum staggering of three-year terms within each constituency and for a reasonable degree of uniformity in the total number of members to be elected each year from all constituencies. To achieve these objectives, when a constituency becomes eligible to elect an additional senator, the initial term may be limited to one or two years in order that succeeding three-year terms may begin in the most appropriate years.

Comment [MCJ34]: What is the practice?/ how do the numbers work? Refer to Senate

- b. *At-large elections*

The number of faculty elected at-large will be the number remaining after the number of senators to be elected from constituencies is subtracted from seventy-two. Senators chosen at-large will be elected by and from the faculty electoral constituencies.

3. The professional staff ¹ members shall be elected according to procedures approved by the Provost and Executive Vice President for Academic Affairs from four

¹ For University Senate constituency purposes, professional staff shall be defined as:

- I. Full-time (nine month or more) management exempt employees not included in the faculty or administrative constituencies.
- II. Full-time (nine month or more, non-student) professional staff represented by the professional employees collective bargaining unit and not included in the faculty constituency.
- III. Full-time (nine month or more, non-student) professional staff represented by the faculty collective bargaining unit but not included in the faculty constituency.

constituencies as described below. Staff members are ineligible to stand for election or to vote in the first regular election following their initial appointment to the staff.

- a. Division of Student Affairs and Services, ~~and Enrollment Management, and Registrar's Office (excluding regional campuses)~~, who shall elect two senators.
 - b. University libraries (excluding regional campuses), who shall elect one senator.
 - c. Regional campuses, who shall elect one senator.
 - d. All professional staff shall elect five at-large senators.
4. Undergraduate student members shall be selected by procedures established by the Undergraduate Student Government with the approval of the Provost.
 5. Graduate student members shall be selected by procedures established by the Graduate Student Senate with the approval of the Provost.

Comment [dbm35]: Registrar's Office comes under Enrollment Mgt

C. Functions

The University Senate is a legislative body and concerns itself with minimum rules, general regulations, ~~and policy~~ pertaining to ~~all the educational programs in the undergraduate schools and colleges and with policy insofar as it pertains in a general way to the educational program of the institution and is not~~ unless reserved to the Board of Trustees, to the administration, or to the several faculties.

Comment [dbm36]: Language rephrased for clarity

D. Officers

The President of the University shall be Chair of the University Senate. If the President chooses not to preside, the presiding officer ~~shall be the Provost. of The Senate shall be~~ ~~Aa m~~ Moderator ~~shall be~~ elected from ~~the its~~ membership for an annual term beginning in September. At a meeting called at the request of at least twenty-five percent of the members, the presiding officer shall be the Chair of the Senate Executive Committee.

Comment [dbm37]: Aligns with article VIII B

Comment [dbm38]: Align with practice

A recording secretary of the Senate, elected by the Senate, is ~~normally~~ responsible for ~~recording and distributing minutes making minutes~~ of Senate meetings. ~~and distributing these to the professional staff.~~

E. Meetings

Meetings of the University Senate shall be held regularly at times to be fixed by the President on the advice of the Senate. The ~~dates and~~ times of meetings shall be published ~~in the catalog at the start of the academic year.~~

Comment [dbm39]: Align with practice

Special meetings of the University Senate may be called by the President, or by the Secretary at the request of at least twenty-five percent of the members. Such request, with signatures, shall be presented in writing to the Secretary. The call for a special meeting shall be issued at least a week in advance of the meeting and shall state the purpose of the meeting.

On the request of any member of the Senate, if supported by four colleagues, a record vote shall be taken. These record votes shall be made a part of the minutes.

F. **Minutes and Reports**

~~Copies of the Minutes of the meetings of the University Senate shall be filed, one in the President's Office, one with the Provost and Executive Vice President for Academic Affairs, one with each of the Vice Presidents, one in the Registrar's Office, one in the University Library and one in the University Archives posted on the University Senate website, and sent to the University Archives. The University Archives shall be the central official place for filing actions-minutes of the University Senate, and the University Archives' copy shall be the official copy. Copies of the minutes shall also be mailed to members of the Senate, upon request to all members of the staff on the Storrs campus and at the regional campuses with the rank of instructor or above, and to a selected list of administrative officers.~~

Comment [dbm40]: Modifications to section below intended to simplify maintenance of minutes in light of WEB a communication tool and resource.

G. **Committees**

1. **The Senate Executive Committee**

The Senate Executive Committee (SEC) shall consist of eight faculty members, one professional staff member and one student member. The faculty and professional staff members shall be elected by the Senate from among the elected members of the Senate who are not primarily administrators. ~~Department heads and directors are not regarded as primarily administrators.~~ The student member shall be elected from among and by the student members of the Senate. ~~Department heads and directors are not regarded as primarily administrators.~~

Comment [dbm41]: Language changes in the Committee section intended to clarify and provide more orderly sequence logic.

Elections shall follow the annual election of such members, and shall normally take place in April. For faculty and professional staff members, a term of service on the Executive Committee shall begin on July 1 and shall be for three years. The term of membership in the Senate of a faculty or professional staff representative elected to the Executive Committee shall be automatically extended, if necessary, to be co-terminal. For the student member, the term of service shall be one year, renewable to a maximum of three consecutive years. ~~Three of the eight faculty members shall be elected as a class in 1994, two more as a class in 1995 and the remaining three as a class in 1996 and, in each case, at three year intervals thereafter. The professional staff member shall be elected in 1995 and at three year intervals thereafter. After the annual election the Senate shall elect one of the nine faculty and professional staff members to serve as Chair of the SEC for a one-year term which may be renewed. A vacancy on the SEC shall be filled by election for the duration of the vacancy.~~

Comment [MCJ42]: If they take place in April, how can new members participate since they are not seated until July. Refer to Senate

No school ~~or~~/college shall have more than one faculty representative ~~elected in any year in any class~~, except the College of Liberal Arts and Sciences ~~which may elect have as many as~~ two representatives. ~~The College of Liberal Arts and Sciences in any class but not~~ may have no more than a total of four members ~~on the SEC~~ at any time and no other school/college may have more than ~~a total of~~ two members at any time. No faculty or professional staff senator shall be eligible for immediate re-election to the ~~Executive Committee~~SEC.

Comment [dbm43]: Outdated language

~~A vacancy shall be filled by election for the duration of the vacancy. After the annual election, the Senate shall elect one of the nine faculty and professional staff~~

~~members to serve as Chair of the Executive Committee for a one year term which may be renewed.~~

The ~~Senate Executive Committee~~SEC is responsible for organizing and coordinating the business of the Senate and of Senate committees. To this end it shall maintain a clerical staff and an office. It shall distribute an agenda for each Senate meeting to the faculty and professional staff at least five days before the meeting. (Items of an extraordinary nature may be considered at a Senate meeting which have not been included in the agenda for that meeting.) It shall receive the reports of Senate committees before they are forwarded to the Senate. It also shall be available to be consulted as the voice of the Senate, especially in reference to resolutions of the Senate which are designed to be transmitted ultimately to the Board of Trustees. ~~Its SEC~~ members shall also constitute the faculty membership of the Trustee-Administration-Faculty-Student Committee (See Section IX.C.)

2. Committee of Three.

The Committee of Three, which functions in faculty dismissal and grievance procedures, is to be constituted as follows: Each spring, after the Senate elections for faculty are completed, the ~~Executive Committee~~SEC will distribute to Senate members a first ballot with the names of newly elected faculty members (excluding those who have the administrative titles of department head or higher). A second ballot with the names of the two Senators receiving the highest number of votes will then be distributed to the members of the Senate. The Senator receiving a majority of the votes cast will be a member of the Committee of Three until the end of his or her term. Whenever a vacancy ~~shall occur~~ in the membership of the Committee of Three, the Senate shall elect in the same manner from the faculty group in which the vacancy exists except if the vacancy is for less than one year, then it shall be filled by the available candidate with the highest vote in the last previous election in the appropriate class and constituency.

In an emergency the SEC may authorize the remaining members of the Committee of Three to select, and the Senate may in a similar fashion elect a substitute for a member of the Committee of Three to serve while such member is absent from the campus, ~~with, in case of emergency, the remaining members of the committee being authorized with the approval of the Senate Executive Committee to fill the position until the election is completed.~~

3. Standing/Special Committee of the Senate

The Senate may appoint and define the duties of ~~such~~ standing or special committees as it desires. The Provost shall be *ex officio* a member of all standing committees.

Each standing committee shall keep ~~an~~ accurate ~~typewritten~~ records of its proceedings and shall provide these to the SEC file copies thereof with the Senate Executive Committee to be forwarded to the appropriate offices. Reports shall be presented to the University Senate as often as the amount and nature of business warrants, and at least annually.

Special committees shall be considered as discharged, without formal vote, when their final reports have been received by the Senate.

Comment [dbm44]: All changes in the section on the Committee of Three are intended to clarify and not be substantive

ARTICLE X – The Schools and Colleges

A. Membership

The faculty of each school/college except the Graduate School, the School of Medicine and the School of Dental Medicine ~~With the exception of the Graduate School, the faculty of each school or college~~ shall consist of the President, the Provost ~~and Executive Vice President for Academic Affairs~~, the dean of the school/~~or~~ college, and all full-time professors, associate professors, assistant professors, and instructors belonging to departments administratively organized in the school or college, and others who are appointed by the Provost ~~and Executive Vice President for Academic Affairs~~ either as voting members of the faculty or as associates and consultants without voting rights.

The faculty of the Graduate School shall include the President, the Provost, the Vice President for Health Affairs, the Vice President for Research and Dean of the Graduate School, and all members of the University staff appointed as graduate advisors by the Provost ~~and Executive Vice President for Academic Affairs~~.

The voting and non-voting faculty of the Schools of Medicine and Dental Medicine shall be defined in the by-laws of the schools and shall include the President, the Provost, the Vice President for Health Affairs and the Dean of the school.

Comment [dbm45]: Need rest of language

B. Functions

~~Staffs with definite legislative powers are organized and held responsible for carrying out effectively certain major functions. The several schools and colleges represent organized responsibility for carrying out these functions.~~

~~It is the function of each school or college:~~

The functions of each school/college are to:

Comment [dbm46]: The language appeared antiquated.

Comment [dbm47]: Following section reworded for clarity

1. Establish and maintain by-laws governing the operation of the school/college consistent with the University's Laws and By-laws. All school/college by-laws must be reviewed by the President and recommended for approval to ~~approved by the~~ Board of Trustees, or the Board of ~~Directors~~.

Comment [dbm48]: President expects each school to establish by-laws

2. Enforce the rules and regulations of the University Senate as they apply.

3. Establish degree programs in ~~a~~ particular majors with the ~~must be approval of~~ ~~ed by~~ the appropriate faculty, the dean of the school/college, the Provost, and the Board of Trustees.

4. Set up and administer curriculum and degree requirements appropriate to its mission and responsibility.

a. Standards more rigid or more specific than those outlined by the University Senate may be imposed by the school/college voting faculty. Standards less rigid or less specific than those approved by the University Senate may not be established.

b. Administer courses established by the Senate that serve to meet the curriculum requirements of the University. Establish and administer other courses in fields appropriate to the school/college, provided that all courses open to freshmen and sophomores are approved by the Senate.

c. To suggest basic and prerequisite courses for the freshman and sophomore years and graduate programs, as appropriate.

d. Establish and administer other courses in fields appropriate to the school/college at the junior and senior years and graduate levels.

~~A degree program in a particular major must be approved by the appropriate faculty, the dean of the school/college, the Provost, and the Board of Trustees.~~

5. Set up admission requirements in line with the purpose and responsibility of the school/college and the University.

6. Plan and execute programs of research and service in line with the general policy of the University.

7. Monitor the academic progress of its students and assist them in educational planning and placement.

8. Maintain records and reports on students, staff, programs and services, and budget.

9. Integrate its program with the general program of the University and foster effective coordination of effort.

10. Secure the safety and proper inventory of all University property assigned to it for instructional, research, or service purposes.

~~To enforce the rules and regulations of the University Senate as they apply.~~

~~2. To set up and administer curriculum and degree requirements appropriate to its responsibility, for its own students; standards less rigid or less specific than those established by the University Senate for the University as a whole may not be set up, but by vote of the faculty, standards more rigid or more specific than those outlined for the University as a whole may be imposed.~~

~~3. To administer courses established by the Senate that serve to meet the curriculum requirements of the Senate, as appropriate, and to establish and administer other courses in fields appropriate to the school or college, provided that all courses open to freshmen and sophomores are approved by the Senate.~~

~~4. To set up admission requirements in line with the purpose and responsibility of the school or college.~~

~~5. To set up and administer curriculum and degree requirements appropriate to its mission, with particular reference to the junior and senior years and graduate programs as appropriate, and to suggest basic and prerequisite courses for the freshman and sophomore years and graduate programs, as appropriate. A degree program in a particular major at a campus of the University of Connecticut must be approved by the appropriate faculty and dean of a school or college. To gain such approval, the campus~~

must ordinarily offer, over a two-year period, a collection of courses at the 200's level which is sufficient for students to complete that major.

6. To submit to the President for transmittal to the Board of Trustees the names of its students who have completed graduation requirements.
7. To plan and execute programs of research and service in line with the general policy of the University and the available staff and facilities.
8. To study the scholastic, professional, and general progress of its students and assist them in vocational and educational planning and placement.
9. To maintain adequate records and reports on students, staff, programs and services, and budget.
10. To integrate its program with the general program of the University and to foster effective coordination of effort.

To secure the safety and proper inventory of all University property assigned to it for instructional, research, or service purposes.

In addition to the above functions, as appropriate, the function of the Graduate School is to facilitate graduate education and research at the University. It administers, promotes, and reviews all University post baccalaureate educational programs and the curricular components contained therein, with the exceptions of programs in Law, Medicine, Dental Medicine, and the Sixth year Professional Diploma in Education. It serves as the primary advocate for the University's research mission by creating opportunities for research and fostering the scholarly basis for new and continuing research efforts.

In addition to the relevant functions above, the Graduate School facilitates graduate ~~research and~~ education ~~and research~~ at the University. It administers, promotes, and reviews all University post-baccalaureate educational programs and curricula, with the exception of programs in Law, Medicine, Dental Medicine, and the Sixth-year Professional Diploma in Education. It serves as an advocate for the University's research and scholarly mission.

C. Officers

The Provost shall preside at meetings of the faculties of the several schools and colleges. In the absence of the Provost, the dean of the school or college concerned shall preside, or, if the dean prefers, the faculty may elect a presiding officer.

The dean of each school or college shall be its executive officer. The dean shall be responsible to the Provost for the work and proper administration of the school or college.

Each school or college shall elect annually a secretary who will call ~~the faculty~~ meetings to order in the absence of the Provost and the ~~dean~~.

~~With the exception of the Graduate School, each school or college shall elect annually a secretary who will call the meeting to order in the absence of the Provost and Executive Vice President for Academic Affairs, and the dean. For the Graduate School, the Secretary shall be appointed according to the Graduate School Bylaws.~~

Comment [dbm49]: Aligns Grad School practice with other schools

D. Meetings

Meetings of the schools and colleges shall be held regularly, ~~at times to be fixed by the Provost and Executive Vice President for Academic Affairs, on advice of the school or college.~~ Special meetings of the schools/colleges may be called by the Provost; or by the secretary, at the request of at least twenty-five percent of the voting members. Such request, with signatures, shall be presented in writing to the secretary. The call for a special meeting shall be issued at least a week in advance of the meeting and shall state the purpose of the meeting.

Comment [dbm50]: Align with practice

E. Minutes and Reports

~~Copies of the minutes~~ Minutes of the meetings of the ~~several~~ schools and /colleges shall be filed, ~~one in the President's office, one with the~~ made available to the Provost and Executive Vice President for Academic Affairs, ~~one with the dean of the school or college concerned, one in the Registrar's Office, and one in the faculty and sent to~~ the University Archives. The University Archives shall be the ~~central~~ official place for filing ~~actions minutes~~ of all faculties, and the University Archives' copy shall be the official copy ~~the school/colleges.~~

Comment [dbm51]: Modifications to section below intended to simplify maintenance of minutes in light of WEB a communication tool and resource

F. The Provost shall communicate in writing to the secretaries of the various schools/colleges and of the University Senate, insofar as they are mutually concerned, such actions by these bodies that will, impact the understanding, integration, and coordination of the academic program of the University.

G. Committees

1. Standing Committees

The ~~President and the Provost~~ dean of each school/college shall appoint and define the duties of standing committees.

The Provost and the dean of the school/~~or~~ college ~~concerned or their designees,~~ shall be *ex officio* members of all standing committees.

Each standing committee shall keep ~~an accurate typewritten~~ record of ~~its proceedings~~ actions taken and shall file copies ~~thereof~~ with the President, the Provost ~~and Executive Vice President for Academic Affairs, the Registrar,~~ the University Archives, and the dean of the appropriate school or college. Reports shall be presented to the appropriate school or college ~~as often as the amount and nature of business warrants, and by the committee chair~~ at least annually. ~~A condensed report may be made at the discretion of the committee chairman unless a full report is requested.~~

2. ~~Special Committees~~ Ad Hoc Committees

~~Special~~ Ad Hoc committees may be set up by the President, the Provost and ~~Executive Vice President for Academic Affairs~~ the deans of schools and / colleges, ~~or the faculties of schools and colleges~~ at any time. The members of ~~special ad hoc~~ committees ~~in the several schools and colleges~~ shall be selected by the appropriate dean unless the faculty specifies some other means of selection.

~~All special committees~~ All ad hoc committees shall report to the authority which initiated their appointment and shall be considered as discharged, without formal vote, when their final reports have been made.

ARTICLE XI – The Divisions

1. Membership

Comment [dbm52]: Section simplified to better reflect practice

~~The Divisions are administrative units with programs that serve the entire university. Divisions must integrate their programs with the general mission of the University and foster effective coordination of effort. Divisions do not administer academic programs.~~

~~Each division shall consist of have an executive officer who reports to the President, Provost or Vice President and a staff of assistants. The executive officer is responsible for the administration of the division, including the hiring of personnel. Each executive officer shall keep adequate records of all personnel, programs, and budgets of the division and shall submit such reports as are required including an annual report to the Senate.~~

~~Except for a division which is directly responsible to the President each executive officer shall be responsible to the Provost and Executive Vice President for Academic Affairs or the respective Vice Presidents for the work and proper administration of the division, including the hiring of professional personnel.~~

Minutes and Reports

~~Each executive officer shall keep adequate records of all personnel, programs, and budgets of the division and shall submit such reports as are required.~~

Committees

~~Each executive officer shall may have an advisory committee appointed by the President, the Provost and Executive Vice President for Academic Affairs or appropriate Vice President. Such committees shall report annually to the Senate for information. These committees are advisory to the executive officers of the divisions, and not to the Senate, nor are they responsible to the Senate.~~

~~Special committees Standing or ad hoc committees shall may be established by the President, or the Provost, the and Executive Vice President for Academic Affairs Vice President or the executive officers as required appropriate.~~

Functions

~~The divisions as administrative units are non legislative in character and do not administer curricula or determine course offerings. They are units whose programs and services cross-section the University.~~

~~It is the function of each division (a) to integrate its program with the general program of the University and to foster effective coordination of effort, and (b) to secure the safety and proper inventory of all University property assigned to it for instructional, research, or service purposes.~~

ARTICLE XIII – The Institutes and Centers in Academic Affairs

Comment [dbm53]: Article reworked; see below

A. Membership

~~Each institute and center shall consist of a director, affiliated faculty, and possible classified and professional staff support. The director will be appointed by the dean to which the unit reports, in consultation with the Provost and Executive Vice President for Academic Affairs. Each director shall be responsible for appointing classified and professional staff. Tenure for faculty continues to be granted through academic departments/schools of the University.~~

B. Functions

~~A center or institute provides a venue for activities (research, service or outreach) which cannot flourish within existing academic structures. Its purpose must be congruent with the goals of the institution and capable of enhancing the achievement of these goals more efficiently than existing departments.~~

C. Reports

~~Each institute or center must have clear lines of responsibility, usually through a dean to the Provost and Executive Vice President for Academic Affairs or to the Vice President for Research. Centers may be primarily responsible to a department head, if department heads of affiliated faculty and the relevant dean approve. Externally sponsored activities (e.g., research/training grants, donations/gifts, fees for services and contracts and letters of agreement) of institutes and centers must have prior approval from the responsible administrative officers.~~

~~All centers and institutes will be reviewed on a five year cycle to determine their continued contribution to the University's mission. Each year, as part of the Annual Report process, a list of those centers and institutes which have received 3 or more years of external support equivalent to one half a professional position, or receive the equivalent of more than one half a professional position from the University, will be provided to the Provost and Executive Vice President for Academic Affairs or to the Vice President for Research by the deans. He or she will routinely inform the Board of the establishment of significant centers and institutes.~~

ARTICLE XII – The Institutes and Centers in Academic Affairs

A. Functions

The ability to make significant contributions to the University's teaching, research and outreach mission, and to solve increasingly complex problems, may be facilitated by interdisciplinary approaches that enable and encourage collaborative contributions from different disciplines. A center or institute provides a venue for activities which cannot flourish within existing academic structures. The goals of the center or institute should be congruent with those of the institution and capable of enhancing the achievement of these goals more efficiently than existing departments.

A *Center* is a unit that ordinarily has a focused mission and a clearly defined objective. It may involve a group of faculty from one or more departments from a single school/college or from different schools/colleges.

An *Institute* is a unit that ordinarily is larger, has a broader mission and a more complex interdisciplinary focus than a center. It is expected that most institutes would involve

faculty from multiple departments and schools/colleges. Unlike centers, a primary mission of institutes is an academic one.

B. Membership

Each institute or center shall consist of a director and a minimum of four affiliated faculty. The director will be appointed by the dean to whom the unit reports, in consultation with the Provost. The director shall be responsible for appointing ~~any classified and professional~~ any staff associated with the center or institute. ~~Tenure-Faculty appointments and consideration for promotion and/or tenure for faculty~~ continues to be granted through academic departments/~~schools~~ of the University.

C. Reports

Each institute or center must have clear lines of responsibility, usually through a dean to the Provost or to the Vice President for Research ~~and Graduate Education~~. Centers may be primarily responsible to a department head, if department heads of affiliated faculty and the relevant dean approve. Externally sponsored activities (e.g., research/training grants, donations/gifts, fees for services and contracts and letters of agreement) of institutes and centers must have prior approval from the responsible administrative officers.

All centers and institutes will be reviewed on a five-year cycle to determine their continued contribution to the University's mission, ~~except that centers and institutes in the Schools of Medicine and Dental Medicine will be reviewed at least every seven years~~. Each center and institute will submit an Annual Report that documents scholarly accomplishments and productivity, including funding obtained during the year, and any changes in the membership of participating faculty. ~~The report is to be submitted to the department head(s) and dean(s) of the participating department(s) and school(s)/college(s) and a copy provided to the Provost. Each year, as part of the Annual Report process, a list of those centers and institutes which have received 3 or more years of external support equivalent to one half a professional position, or receive the equivalent of more than one half a professional position from the University, will be provided to the Provost or to the Vice President for Research by the deans. The Provost will routinely inform the Board of Trustees, and if appropriate, the Health Center Board of Directors, of the establishment and discontinuation of significant all~~ centers and institutes.

ARTICLE XIII – The Departments

A. Membership

~~Each department~~ Department faculty members shall consist of all faculty as defined in Article X ~~professors, associate professors, assistant professors and instructors at all campuses all members of its professional staff including resident instructors at the Storrs and Regional campuses, extension, and experiment station workers~~. Each faculty member is assigned to a position at a primary campus and when granted tenure, is tenured throughout the University. Should the primary campus cease to exist or a tenured faculty member's program ~~be terminated~~ at the primary campus, the faculty member would be assigned to another campus with that program.

Comment [C54]: Intent is to recognize that faculty, regardless of campus assignment are members of a department

Comment [dbm55]: No longer use terms' resident instructors or extension and experiment station workers.

B. Functions

~~The departments~~ Departments are organized in terms of subject matter areas. They bear definite cross-relationships, but their organization into distinct administrative units is intended to assure that the attention of small groups of faculty members will be centered on ~~the problems of~~ teaching, ~~planning,~~ research, clinical activities, and/or service in these areas.

Comment [dbm56]: Better reflects UCHC roles as well

~~It is the~~ The functions of each department are to:

- ~~To~~ Develop an educational program designed to meet the needs of the students in the various schools ~~and~~ colleges and of other individuals and groups served by the instructional ~~teaching,~~ research, clinical and/or service programs.
- ~~To study and employ ways and means of making~~ Evaluate and improve its educational ~~instructional work~~ programs ~~more~~ effective.
- ~~To~~ Recommend to the faculty of ~~the~~ its school ~~or~~ college within which it is organized changes intended to improve the work of the department.
- ~~To~~ Secure the safety and proper inventory of all University property assigned to it. ~~for instructional, research or service purposes.~~
- ~~To~~ Integrate its program with the general program of the University and to foster effective coordination of effort.

Comment [dbm57]: Rephrased to better reflect intent of clause

C. Officers

Each ~~Storrs based~~ department shall have an executive officer, ~~the~~ (head/chair) who shall represent his/her department and who shall report to the dean of the school/college within which the department is organized. Except at the Health Center, the executive officer ~~A head~~ shall not serve more than two consecutive terms unless the majority of his ~~or~~ her department recommends otherwise. Health Center executive officers do not have term limits. Each department shall have a secretary.

Comment [dbm58]: Titles used to reflect variation between Storrs and UCHC

D. Meetings

~~Each Storrs based department shall meet as often as is necessary to keep the work of the department adjusted to University needs and the staff informed and cooperative as to purposes, problems, programs, and general division of labor.~~

Meetings of the department may be called by ~~the head~~ the executive officer of the department, the dean of the school ~~or~~ college within which the department is organized, or the Provost. Each department shall hold meetings as needed.

ARTICLE XIV – The University Staff

- ~~The President shall appoint individuals and m~~Members of units ~~and other individuals~~ reporting to him/her. ~~the President shall be appointed by the President.~~ All other members

of the faculty and professional staff shall be appointed by the Provost or the Vice Presidents or their designees. ~~Continuous tenure shall not be granted except by vote of the Board of Trustees. Tenure shall only be granted by the Board of Trustees or as delegated to the Board of Directors.~~

Comment [dbm59]: Updated language from 'continuous appointment' to 'tenured'

Comment [dbm60]: Recognizes BOD is given authority to grant tenure to faculty at UCHC

Termination for cause of a tenured faculty member ~~continuous appointment~~ or the dismissal for cause of a faculty member previous to the expiration of a term appointment shall be made only by the affirmative vote of a majority of members ~~at least eleven members~~ of the Board of Trustees or of the Board of Directors.

Comment [dbm61]: Permits adjustment if number of BOT members change.

B. ~~The policies and practices in this section and the following sections C. through H. relating to academic freedom and tenure of professional members of the staff apply to all members of the professional staff of the University, with the exception that, concerning tenure, the Provost shall recommend to the Board of Trustees the categories of the professional staff to which the regulations concerning academic tenure apply. The Provost shall consult with the University Senate before making such recommendation to the Board of Trustees. Regulations and policies pertaining to the professional staff in positions leading to tenure, or to staff members with tenure, do not apply to professional staff members not in those categories. No professional staff member who has not attained tenure by vote of the Board of Trustees, as set forth herein, shall have a claim that he or she has tenure.~~

Comment [dbm62]: The initial section has been broken out into separate, clearer sections.

Comment [dbm63]: The section in yellow is moved below.

Comment [dbm64]: Sentence omitted; lacked clarity but purpose preserved through other language.

Academic freedom applies to all members of the faculty and professional staff of the university.

Comment [dbm65]: This sentence captures the intent of the first sentence in B up to: 'with the exception that.'

1. All members of the faculty, whether tenured or not, are entitled to academic freedom set forth in the 1940 Statement of Principles on Academic Freedom and Tenure formulated by the Association of American Colleges and the American Association of University Professors. The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties, but research for pecuniary-monetary return should adhere to University policies. ~~be based upon an understanding with the authorities of the University.~~

2. The faculty member is entitled to freedom in the classroom in treating his/her subject and in conducting a class. The faculty members should not contravene the free speech and academic freedom of other members of the professional staff, nor impede faculty teachers, other members of the professional staff, or students, in their central tasks of teaching, research, and learning.

3. The faculty member is a citizen, a member of a learned profession, and an officer of an educational institution. When the faculty member speaks or writes as a citizen, he/she should be free from institutional censorship or discipline, but the faculty member's special position in the community imposes special obligations. As a person of learning and an educational officer, he/she should remember that the public may judge the faculty member's profession and the University by his/her utterances. Hence, he/she should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he/she does not speak for the institution.

4. Membership in the academic community imposes on students, faculty members, ~~administrators, professional staff~~ and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways which injure individuals or damage institutional facilities or disrupt ~~the classes, of one's teachers or colleagues.~~ Speakers on campus must not only be protected from violence, but given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution.

Students are entitled to an atmosphere conducive to learning and to even-handed treatment in all aspects of the teacher-student relationship. Faculty members may not refuse to enroll or teach students on the grounds of their beliefs or the possible uses to which they may put the knowledge to be gained in a course. The student should not be forced by the authority inherent in the instructional role to make particular personal choices as to political action or the student's own part in society. Evaluation of students and the award of credit must be based on academic performance professionally judged and not on matters irrelevant to that performance, whether personality, race, religion, degree of political activism, or personal beliefs.

It is a teacher's mastery of his/her subject and ~~the teacher's own~~ scholarship which entitle him or her to the classroom and to freedom in the presentation of his/her own subject. Thus, it is improper for an instructor persistently to intrude material which has no relation to his/her subject, or to fail to present the subject matter of the course as announced to the students and as approved by the faculty in their collective responsibility for the curriculum.

Because academic freedom has traditionally included the ~~teacher's instructor's~~ full freedom as a citizen, most faculty members face no insoluble conflicts between the claims of politics, social action, and conscience, on the one hand, and the claims and expectations of their students, colleagues, and institutions, on the other. If such conflicts become acute, and the ~~instructor's teacher's~~ attention to his/her obligations as a citizen and moral agent precludes the fulfillment of substantial academic obligations, the ~~instructor-teacher~~ cannot escape the responsibility of that choice, but should either request a leave of absence or resign his/her academic position.

5. The University, in fulfilling an essential function as a forum for the free expression of ideas, shall endeavor to preserve and facilitate the full enjoyment of constitutionally protected civil liberties.

Members of the professional staff shall have equal opportunity in their employment regardless of ~~sex, gender,~~ race, religion, national origin or handicap. The highest standards shall be sought in the protection of all forms of freedom of thought, expression, association, and peaceful assembly. In the exercise of these civil liberties the members of the professional staff are obliged to protect the same rights of others and to bear in mind their respective obligations to their profession and to the University.

C. Academic Appointment and Tenure²

The Provost shall recommend to the Board of Trustees the categories of the professional staff to which the regulations concerning academic tenure apply. The Provost shall consult with the University Senate before making such recommendation to the Board of Trustees. No professional staff member who has not attained tenure by vote of the Board of Trustees or the Board of Directors, as set forth herein, shall have a claim that he/she has tenure.

Comment [dbm66]: Moved from XV B. above

1. The terms and conditions of every appointment to the faculty will ~~be be stated or~~ confirmed in writing, and ~~an appointment letter a copy of the appointment document~~ will be ~~provided supplied~~ to the faculty member. Any subsequent extensions or modifications of an appointment, and any special understandings, or any notices incumbent upon either party to provide, will be ~~stated or~~ confirmed in writing and a copy will be given to the faculty member.
2. With the exception of special appointments clearly limited to a temporary association with the institution, all full-time appointments to the rank of instructor or higher are of ~~three two~~ kinds: (1) probationary appointments in a tenure track position; (2) ~~appointments with continuous~~ tenured appointments and ~~-(3) at the Health Center, in-residence appointments.~~
3. Except for faculty members who have tenure status, every person with a teaching or research appointment of any kind will be informed each year in writing of the terms of his/her appointment.
4. Beginning with appointment to a full-time, tenure track position, the probationary period shall not exceed seven years, except when the original appointment is in January or as provided elsewhere in the University Laws and By-Laws. When the original appointment is in January, the probationary period shall not exceed seven and one-half years.

Comment [dbm67]: Language clarified

For faculty with primary appointments in the Schools of Medicine or Dental Medicine, the probationary period shall not exceed nine years, including within this period full-time service in all institutions of higher education, except when the original

Comment [dbm68]: Reflects UCHC pre tenure period.

² The regulations concerning academic tenure in this and the following sections apply only to members of the professional staff who hold full-time appointments in certain ranks recognized by the Board of Trustees. These recognized ranks include Instructor, Assistant Professor, Associate Professor and Professor, but do not include the following: Lecturer; Professor in Residence; Associate Professor in Residence; Assistant Professor in Residence; Instructor in Residence; Clinical Professor; Associate Clinical Professor; Assistant Clinical Professor; Clinical Instructor; Research Professor; Associate Research Professor; Assistant Research Professor; Research Instructor; Research Associate I, II, III; Research Assistant I, II, III; Research Specialist; Special Research Technician; Graduate Assistant; Extension Professor; Associate Extension Professor; Assistant Extension Professor; Extension Instructor; Specialist I, II, III, IV; Assistant Instructor; University Educational Director; Department Head, Student Affairs; University Educational Assistant I, II, III; University Associate Librarian; University Assistant Librarian; University Librarian I, II, III; University Library Assistant I, II, III; University Library Specialist; University Staff Professional I, II, III, IV, V, VI; University Technician I, II; University Physician; Resident Educational Counselor; and titles that contain the words "University Hospital" (e.g., University Hospital Nurse I). Academic tenure does not confer upon any staff member the right to continued assignment to administrative responsibilities.

appointment is in January. Then the probationary period shall not exceed nine and one-half years.

Comment [dbm69]: Moved from below

New appointees to tenure track positions with prior service in a tenure track position at another university may, in consultation with their deans and department heads, be granted up to a full ~~seven-year~~ probationary period at the time of hire. The probationary period agreed upon in the candidate's offer letter will be viewed as the tenure track period.

Ordinarily, a leave with or without pay awarded for the purpose of pursuing scholarly research activities shall be included in the probationary period toward tenure.

Comment [dbm70]: Next three paragraphs moved from paragraph below

A leave of at least one semester for personal or other reasons ordinarily will not be included in the probationary period toward tenure. Such leaves must be requested in writing by the faculty member and granted in writing by the department head, dean and the Provost.

Faculty members who provide timely notice to the University that they have experienced a qualifying major life event as defined under the Federal Family and Medical Leave Act, prior to their mandatory tenure evaluation year, will receive an automatic one-year extension of the tenure clock.

For faculty with primary appointments in the School of Medicine, significant life events may be allowed to increase the probationary period leading to promotion or tenure for a maximum of twenty-four months. An increase in the probationary period leading to promotion and/or tenure is automatically awarded when the faculty member takes leave documented and approved under the Federal Family Medical Leave Act, the State of Connecticut Family Medical Leave Act, or the State of Connecticut Workers' Compensation Act. Alternatively, the faculty member may request an increase in the probationary period to tenure (but not to promotion) even when the above criteria are not met, but when the faculty member's productivity is affected by a significant life event. Such requests must be approved by the Department Chair and the dean or his/her designee.

Comment [MCJ71]: SODM does not have it's own stop the clock

Faculty who wish to be considered for promotion and tenure before the end of the ~~seven-year~~ probationary period will be evaluated by the same standards applied to faculty who have taken the full probationary period.

~~For faculty with primary appointments in the Schools of Medicine or Dental Medicine, the probationary period shall not exceed nine years, including within this period full-time service in all institutions of higher education, except when the original appointment is in January. Then the probationary period shall not exceed nine and one-half years.~~

Comment [dbm72]: Section moved to above

The University ordinarily requires of all new appointees a probationary period of at least one year in this institution; but ~~continuous~~ tenure may be granted at any time thereafter and before the expiration of the maximum probationary period by vote of the Board of Trustees or for the faculty of the Schools of Medicine and Dental Medicine, by vote of the Board of Directors. In appropriate circumstances, tenure may be granted by the Board of Trustees or for the faculty of the Schools of Medicine and Dental

Medicine, by vote of the Board of Directors upon arrival at the University at the rank of Professor, and, in special circumstances, at the rank of Associate Professor.

~~Following award of tenure. After the expiration of a probationary period, faculty members shall have continuous tenure, and their services- a faculty appointment shall be terminated only for adequate cause, or under extraordinary circumstances of financial exigencies.~~

~~During the probationary period, the faculty member shall have the academic freedom that tenured members of the faculty have. Ordinarily, a leave with or without pay awarded for the purpose of pursuing scholarly research activities shall be included in the probationary period toward tenure. A leave of at least one semester for personal or other reasons ordinarily will not be included in the probationary period toward tenure; at the written request of the faculty member and with the written agreement of the department head, dean and the Provost and Executive Vice President for Academic Affairs, a leave for personal or other reasons may be counted toward the probationary period. All conditions of leaves and associated agreements must be specified in writing. Faculty members who provide timely notice to the University that they have experienced a qualifying major life event as defined under the Federal Family and Medical Leave Act, prior to their mandatory tenure evaluation year, will receive an automatic one year extension of the tenure clock.~~

Comment [dbm73]: Academic Freedom addressed in B. above

5. Regardless of the stated term or other provisions of any appointments, written notice that a probationary appointment is not to be renewed will be given to the faculty member in advance of the expiration of his/her appointment, as follows: (1) Not later than March 15 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment does not coincide with an academic year, at least three months in advance of its termination; (2) not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination; (3) at least twelve months before the expiration of an appointment after two or more years of service at the institution. The institution will normally notify faculty members of their renewals by March 31.

D. Policies and Procedures Relating to Rank, Salary, and Advancement

Comment [MCJ74]: formerly Section J/relocated and reorganized

1. Tenure and promotion in the professorial ranks will be granted only to persons of outstanding achievement consistent with standards expected of a top public research university. Specific evidence of superior performance in scholarship and in teaching is of primary importance. As a minimum standard for tenure and/or promotion there must be evidence of strong performance in both scholarship and teaching and superior achievement in at least one of these areas. In addition, other contributions to the University will be considered. In individual cases where it is demonstrated that there has been meritorious professional service through which the faculty member has achieved distinction in the profession, such service may also receive significant weight. Ordinarily those in the rank of assistant professor are not eligible for tenure. Continued reappointment of a person in a tenure track position, after it is clear that he/she will not become eligible for permanent tenure, cannot be justified on grounds of immediate convenience. In his/her own interest and that of the University, he/she should be released after the customary notice.

Policies for promotion should operate to advance the most promising, and to hold back or in accordance with established practices regarding tenure, to eliminate the incompetent and the mediocre. These policies should give careful consideration both to current performance and to future promise, and should convey an assurance of impartiality by recognizing and rewarding accomplishment and by maintaining opportunities for advancement. To do this the policies must be based on merit, determined on the broadest possible basis, and must not be matters of routine or mere seniority. The value of a teacher faculty member to the University results from the possession of a number of different qualities. In enumerating certain of these, it is not intended to formulate a rigid set of standards, nor to require that all teachers faculty attain a stated minimum in each of the items. The value of each person is rather to be judged by both strengths and weaknesses so as to arrive at an estimate of his/her total contribution. No fixed numerical weighting can be prescribed, though greater emphasis should be placed on scholarship, teaching ability, and activity in research than on other characteristics.

Comment [dbm75]: balance of sentence makes this self evident

A teacher's faculty member's salary is in large part a payment for services rendered, however, it includes an additional element which is an investment by the University in the potentialities of the teacher individual. Adequate salaries permit the assumption of the expenses of travel and study and other professional and cultural activities, and provide an appropriate standard of living. Inadequate salaries are contrary to the interest of the University, because they impede faculty development, or force faculty to supplement earnings at the expense of the time needed for study, thought, and research—and may, of course, even involve the loss of valuable faculty.

2. Qualities desired in faculty of all ranks

All candidates for appointment to the faculty and for promotion, are expected to show satisfactory attainment and continuous growth in the following qualities, though in varying degrees and in different proportions. The individual's accomplishment in each should be evaluated on every occasion when advancement in salary or rank is being considered, and particular care must be exercised when it is proposed to grant tenure.

- a. Professional competence in the field of his/her specialization, as evidenced initially by the record of his/her training and scholastic achievement, and later by the opinion of professional colleagues here and elsewhere; and in certain fields by the execution of professional commissions, the giving of expert testimony, and the like; or by the holding of a license for professional practice, where licensing has been established.
- b. Teaching ability and performance, beginning with the capacity to excite interest and evoke response in students, to broaden their outlook, to impart knowledge, to see and convey relationships, to encourage the faculty of criticism, and to stimulate a sense of inquiry. The educational role of the faculty member is not confined to the classroom. It should include willing skillful attention to the individual student who can profit from additional help in the mastery of a course to which the faculty member is assigned. Also important is the role of academic advisor, who will encourage students to gain as much as possible from the educational resources of

the University, and will guide the student to the proper selection of courses consistent with his/her academic and life goals.

c. Research and such other scholarly activity as gives evidence of the effective utilization and continuing development of his/her natural endowment. This will ordinarily result in publications, lectures, or papers at professional meetings, and should in any case be reflected in the vitality of the person's teaching. Such activity will take many forms, some of which are:

i. Study, including reading, laboratory work, and museum work;

ii. Membership and appropriate activity in one or more professional societies;

iii. Writing—creative, critical, analytical, summarizing, or editorial;

iv. Creative work in other fields, such as the arts and engineering;

v. Research, including both the routine application of known techniques to the accumulation and analysis of new data, and the invaluable gift of making fundamental contributions to knowledge—the former to be expected of many teachers, and the latter to be hoped for in a few;

vi. Creative activity in the arts, and the ability to make research contributions of the second or fundamental kind will be especially noted and rewarded.

d. Although the qualities listed above should receive the greatest consideration, the following items bearing on professional fitness also should be taken into account, particularly when new appointments are being made and at the end of the probationary period.

i. Personal attributes; integrity, industry, open-mindedness, objectivity, friendliness, effectiveness in speaking, capacity for leadership and cooperation, breadth of intellectual interests.

ii. Concern for the educational, social, and personal welfare of students, such as is demonstrated, for example, by success in ~~counseling~~-mentoring.

iii. Willingness and ability to assist in the various types of service which a state University renders, in the answering of inquiries, the giving of advice, the conduct of surveys, and the like.

iv. Competence in fulfilling responsibilities toward democratic University government, as in department and faculty meetings, committee work, and administrative duties.

v. A sympathetic but discriminating interest in the development of the University, and the assumption of a share of responsibility for the efficient execution of its functions; or, in the case of recent appointees, indication that this interest will develop in due time.

3. In addition to these general desiderata, the following qualifications will be borne in mind in making appointments or promotions to the several ranks.

a. Qualifications for instructors

i. Training or experience appropriate to the performance of his/her assigned responsibilities. In many cases this will mean the possession of, or evidence of substantial progress toward the appropriate terminal degree. ~~If a teacher who does not hold the appropriate terminal degree is appointed, the University should in most cases insist that this essential preparation be completed early, and should afford such practical assistance as is reasonable by providing working facilities and by lightening his/her load or granting leave.~~

Comment [dbm76]: This statement takes the form of a recommendation, not formal policy thus, these accommodations are in the purview of the university

ii. A consensus on the part of those qualified to judge that the faculty member's training, experience, and interest in his/her subject are appropriate for the performance of the duties to be assigned.

iii. For certain types of teaching, it may be more desirable to appoint person whose qualifications will not ordinarily entitle them to advance into the upper levels of rank and salary.

Note: Two years is regarded as the maximum ~~normal~~ length of service in the rank of instructor for those in a tenure track position, who are qualified for advancement at the end of this period.

Comment [dbm77]: Conforms with practice

~~For certain types of teaching, it may be more desirable to appoint persons whose qualifications will not ordinarily entitle them to advance into the upper levels of rank and salary.~~

Comment [dbm78]: Moved to 3 above

b. Qualifications for assistant professors

i. The possession of the appropriate terminal degree.

ii. A record of success in his/her work. Information considered ~~based on all obtainable information.~~ This may include the judgment of colleagues, ~~information from student evaluations,~~ and occasionally the ~~comparisons of the progress and achievement of his/her students, with that of groups of approximately equal ability in the same or similar courses.~~

Comment [dbm79]: Task force felt information from students would ordinarily take the form of evaluations and thus used specific language to reflect that intent.

Note: ~~Ordinarily, six years is regarded as the normal length of service in the rank of assistant professor.~~

Comment [dbm80]: Task force felt 'comparative information between students was typically unavailable but a general record of student's of progress more likely to be obtained.

c. Qualifications for associate professors

Continued growth in the qualities desired in all faculty members especially, evidence that s/he is keeping abreast of the times in method and subject matter, and a consensus among colleagues that the faculty member is making a substantial contribution to the advancement of knowledge in his/her field.

d. Qualifications for professors

- i. Service here or elsewhere as an associate professor of at least five years except when there is evidence that he/she is of superior ability as compared with other associate professors.
- ii. Evidence that he/she is regarded by colleagues within and without the University as a capable, mature teacher, and a recognized scholar.

e. Special Title: Board of Trustees Distinguished Professor

- i. The title “Board of Trustees Distinguished Professor” should be reserved exclusively to recognize faculty who have achieved exceptional distinction in scholarship, teaching and service while at the University of Connecticut.
- ii. The Board of Trustees Distinguished Professor title will be conferred as a result of a peer review process. The Review Committee will solicit and evaluate all nominations. The Review Committee will obtain detailed information including materials from external sources and recommend candidates to the Board of Trustees via the Provost.
- iii. The title will normally be awarded to three persons per year. Up to five persons per year may be recognized when the total number of Board of Trustees Distinguished Professors drops below 5% of the full professors on the active faculty.

Comment [dbm81]: Reformatted to make 'special titles' another section of qualifications of faculty rank

4. Annual Reviews of Faculty Performance

- a. The status of every faculty member with regard to salary and/or rank shall be considered at least once each year. The head of the department shall ordinarily be responsible for seeing that this is done.
- b. It is the duty of each department head to conduct a continuing appraisal of the work and potentialities of the people in the department, and by informal consultation to ascertain the views of the other members of the department. It is his/her responsibility not only to give his/her own appraisal but also to transmit that of his/her colleagues within the department. In this connection it should be emphasized that all such evaluations are to be based on the criteria listed above. Recommendations resulting from these reviews, with supporting data, shall be sent to the dean of the school or college, and by the dean, with his/her own recommendations, to the Provost.

Comment [dbm82]: Broken out as a separate section from J 4 (a) – was 'Procedure'

~~Before a teacher is placed on permanent tenure the Provost and Executive Vice President for Academic Affairs shall appoint at least five teachers to act as advisers, and he or she may follow the same procedure in other cases of proposed advancement, or at the request of a teacher who desires such consideration. These advisers shall normally include representatives both of the candidate's department, and of at least two other departments. The selection of advisers shall be confidential, and those who serve shall, without meeting as a committee, report individually to the Provost and Executive Vice President for Academic Affairs their answers to such questions as he or she may submit to them. Reports shall be confidential, and record thereof kept in summary form only.~~

Comment [dbm83]: Section inconsistent with established practices

5. Promotion and tenure procedures

In considering nominations for promotion and tenure research activities of candidates shall be judged by those who are ~~reasonably~~ competent in the general field, who have read the publications of the candidate, and who are familiar with the progress of his/her unpublished work. Care must be exercised to determine the actual amount and true nature of the work. Undue emphasis should not be placed upon mere volume of publication.

Comment [dbm84]: Relocated from 4 e 'Procedure'

a. In view of the paramount importance of good teaching, and the difficulty of judging the quality of a teacher's performance, student evaluations ~~opinion~~ shall be taken into consideration during promotion and tenure decisions. ~~It shall be conducted according to a general plan approved by the University Senate on February 10, 1947 as amended on December 11, 1967 and on April 11, 1977.~~ Caution must be observed to discount mass prejudices, and to avoid overestimating the impressions of the moment, which may well be different from the considered judgment of later years. ~~Student opinion evaluations shall also be available to deans and heads of departments.~~

Comment [dbm85]: Relocated from 4 f

If the teacher has requested the survey, the general nature of the results shall be communicated to him or her, and this may be done in any case. The results shall also be available to deans and heads of departments, but the actual replies are confidential and shall be destroyed after they have been summarized.

Comment [dbm86]: Official student surveys are done by the University at specific times each semester; the University doesn't do surveys on demand. Faculty are free to conduct surveys on their own.

b. The Provost will accept and may request from teachers at any time new information about a candidate's qualifications ~~which they think are apt to be overlooked, and may request such data from teachers~~ at any step in the promotion/tenure process.

Comment [dbm87]: Section rephrased for clarity

c. Final action on promotions and increases in salary and tenure will be based on all available evidence, and will be taken by the Board of Trustees or the Board of Directors for Health Center faculty, upon the joint recommendation of the Provost, the dean of the college, the department head, and such other officers as may from time to time be charged with this responsibility.

Comment [dbm88]: No longer consistent w/practice and cba's

For procedures on promotion and tenure, go to the Provost's website.

For procedures on promotion and tenure for the Schools of Medicine and Dental Medicine, go to the Health Center Faculty Handbook.

E. Professional Staff Loads

Comment [MCJ89]: originally Section L.

1. While members of the professional staff of this University, faculty members are employed for a variety of duties, as a general rule the University will expect to assign to each duties which are reasonable and consistent with good and effective teaching practices at both the undergraduate and graduate levels. ~~practices in teaching, research, clinical care and outreach.~~ In addition, faculty will be expected to carry a reasonable amount of ordinary departmental duties and routine committee responsibilities and to undertake those activities of self-improvement and professional development which are part of every faculty member's investment in his/her own

Comment [dbm90]: Intent of section is faculty work, not administrator's

Comment [dbm91]: Aligns with scope of faculty work

~~future. Such assigned responsibilities as unusually heavy loads of student counseling, the chairmanship of committees which are unusually time consuming, research projects which have been designated as a part of the staff member's assigned load, unusually heavy enrollments in courses, and assigned administrative duties will be considered in determining the number of contact hours assigned to any individual.~~

Comment [dbm92]: Above sentence rephrased below.

In determining teaching contact hours and clinical care assignments, consideration will be given to unusually heavy responsibilities for student advising, chairing committees, research projects, unusually large courses, and assigned administrative duties.

~~Assignment of duties will be made by the appropriate deans, directors, and department heads, subject to review as to general policy by the Provost and Executive Vice President for Academic Affairs, the appropriate Vice President, and President. Insofar as it is possible, consistent with the development of a balanced offering of University services, these assignments should take into account the aptitudes and wishes of individual staff members and their opportunities for long-run professional development.~~

Assignment of duties will be made by the appropriate deans, and department heads, consistent with University policy. Insofar as it is possible, these assignments should take into account the aptitudes and wishes of individual staff members and their opportunities for long-run professional development.

Comment [C93]: Rephrased to be more concise; no substantive change intended

2. Except in the Schools of Medicine and Dental Medicine in general, the teaching duties of each department shall generally be regarded as a joint responsibility of all its members, to be divided as far as possible by mutual agreement, with proper attention to the interests and activities of all. It shall be the responsibility of the department head to make decisions when agreement is lacking, and to submit the complete schedule of teaching engagements to the appropriate dean.

The preceding paragraph does not imply that teaching loads and assignments of individual faculty members are to be determined by departmental vote. Departmental action is to be limited to consideration of general policy.

In settling details of teaching schedules within the department or in meeting situations that arise on short notice, the department head has a three-fold responsibility which should be kept in mind: three responsibilities:

- a. The department head must understand and put into effect the general policies and programs of the University.
- b. The department head must act on behalf of and as a representative of the department. The entire professional staff of the department, in departmental meeting, should consider the department's professional program. All members should participate in the formulation of general departmental policy, both for long-run development and current decisions.
- c. All faculty of the department should participate in the formulation of general departmental policy, and assess the department's professional program, both for long-run development and current decisions.

Comment [dbm94]: Section rephrased

d. The department head has a responsibility to discuss with individual faculty his/her ambitions and aspirations within the University and the profession. While no one is completely a free agent to lay out a program exactly as one pleases, scholarly activity flourishes best in an environment of self-direction and self-propulsion.

F. Resignation of a Faculty Member

A faculty member wishing to may resign is expected to effective at the end of an academic year, provided that he or she gives notice in writing at the earliest opportunity, but not later than May 15, or 30 days after receiving notification of the terms of his or her appointment for the coming year, whichever date occurs later. The faculty member may properly request a waiver of this requirement of notice in case of hardship or in a situation where he or she/he would otherwise be denied substantial professional advancement or other opportunity.

Comment [dbm95]: Moved from D

G. Termination of Appointments by the Institution

1. Dismissal, defined as termination of a an appointment with continuous tenured appointment, or of a special or probationary appointment, or for faculty in the Schools of Medicine or Dental Medicine, an in-residence appointment before the end of the specified term, may be effected by the institution only for adequate cause. Dismissals will be pursuant to the procedure specified in Section H, below. Termination of a special or probationary appointment at the end of the specified term shall not be defined as dismissal.

Comment [dbm96]: Moved from E

2. Non-reappointment of a special, probationary, or in-residence appointment at the end of the specified term shall not be defined as dismissal. If termination takes the form of a dismissal, it will be pursuant to the procedure specified in Section F, below.

Comment [dbm97]: Language moved

3. Where termination of appointment is based upon financial exigency, or bona fide discontinuance of a program or department of instruction, Section ~~F~~H will not apply, but faculty members shall be able to have the issues reviewed under the grievance procedure as provided in Sections S and T-Q.

Comment [dbm98]: Changes terminology from "Termination of a special or probationary appointment to "non-reappointment and places in a new paragraph those separations which occur at the end of a contract term.

Comment [dbm99]: Sentence moved to E.1.

In every case of financial exigency or discontinuance of a program or department of instruction, an affected tenured faculty member ~~concerned~~ will be given notice as soon as possible, and never less than 12 months' notice, or in lieu thereof he/she will be given severance salary for 12 months. Before terminating a tenured or probationary appointment because of the abandonment of a program or department of instruction, the University will make every effort to place affected faculty members in other suitable positions. If a tenured or probationary appointment is terminated because of financial exigency, or because of the discontinuance of a program of instruction, the released faculty member's place will not be filled by a replacement within a period of two years from the date of termination unless the released faculty member has been offered reappointment and a reasonable time within which to accept or decline it.

H. Dismissal Procedures

1. a. Adequate cause for dismissal will be related directly and substantially to the fitness of the faculty member in his/her professional capacity as described in Section D. Dismissal procedures will not be used to restrain faculty members in the exercise of their academic freedom or their rights as citizens.

- b. For faculty with primary appointments in the School of Medicine or the School of Dental Medicine, adequate cause for dismissal may also include sustained unsatisfactory job performance, as determined in part by the post-tenure review process described in the faculty member's school bylaws.
2. a. If circumstances arise that, on their face, cause the Provost to anticipate the reasonable possibility of dismissal being recommended for a faculty member with ~~continuous~~ tenure, or with a special or probationary or for faculty in the Schools of Medicine or Dental Medicine, in-residence appointment before the end of the specified term, the appropriate administrative officer (usually the Provost or his/her representative) will initiate discussion of the matter with the faculty member, looking towards a mutually acceptable settlement.
 - b. If such settlement is not reached the question will be referred to the Committee of Three within 14 days³ of the invitation of the administration to the faculty member to discuss the matter. The Committee of Three will proceed to an informal inquiry, including further attempts at conciliation. The Committee shall report to the Provost within 14 days from the date it enters the case its recommendations based on the results of its inquiry and efforts toward conciliation.
 - c. If continued action seems to the Provost to be warranted, then he/she or his/her representative, taking into account the report of the Committee of Three, shall frame with reasonable particularity a statement of charges. The statement will then be provided to the concerned faculty member within 14 days after the Provost receives the recommendations of the Committee of Three.
 3. A dismissal, as defined in Section G.1. must be preceded by the sequence of steps outlined in Section H.2., culminating in the statement of charges provided for in Section H.2.c. Both the individual concerned and the Provost will have the right to have the matter heard by a committee of five. In order to exercise this right, the faculty member, or the Provost, within 7 days of the faculty member's receipt of the statement of charges must request the Committee of Three to form a hearing committee.

The essential functions of the hearing committee are to assemble and review pertinent information and to make appropriate recommendations. In constituting a hearing committee, the Committee of Three shall choose a panel of nine members of the faculty from which either party, within 5 days of notification of the panel, may strike not more than two names. In the event that more than five names remain after the completion of this process, the Committee of Three shall select five to serve as the hearing committee.

The hearing committee shall, within 7 days after its appointment, select its own presiding officer and immediately notify the Provost and the Committee of Three of the name of the presiding officer and the date of selection. If the hearing committee wishes to retain independent counsel, prior approval of the Attorney General of the State of Connecticut is necessary. The University will bear any costs of the hearing procedure, except that the individual concerned will be responsible for any fees he/she incurs for

³ All references to days are to calendar days.

counsel, expert witnesses, and other defense expenses, and for the expense of any witness provided for the individual by the University.

Within 7 days of the selection of a presiding officer for the hearing committee, written notice of specific charges will be served. The faculty member may respond to the charges in writing within 7 days.

The date for the hearing shall not be set until the faculty member has responded, or the time limit for such response has expired. If the faculty member denies the charge against him or her or asserts the charges do not support a finding of adequate cause, or waives his/her right to appear, or refuses to participate in the hearing in person or in writing, the hearing committee will evaluate all available evidence, and rest its recommendation upon the evidence in the record.

- a. Since the hearing deals with personnel matters, it shall be closed unless the faculty member requires in writing that it be open.
- b. During the hearing the faculty member will be permitted to be represented by or to have with him/her an academic adviser and/or legal counsel of his/her own choosing. The Provost may be accompanied by or represented at the hearing by a delegate and/or legal counsel of his/her own choosing.
- c. At the request of either party or the hearing committee, representatives of professional organizations shall be permitted to attend the hearing as observers.
- d. A verbatim record of the hearing or hearings will be taken and a typewritten copy or legible facsimile thereof will be made available without cost to the faculty member and to the hearing committee. The requirement of a verbatim record may be waived by mutual consent of the hearing committee and both parties.
- e. The burden of proof that adequate cause exists rests with the institution, and shall be satisfied only by clear and convincing evidence in the record considered as a whole.
- f. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the administration of the institution will, insofar as it is possible for it to do so, secure the cooperation of such witnesses and make available necessary documents and other evidence within its control.
- g. The hearing committee may grant adjournment to enable either party to investigate evidence as to which a valid claim of surprise is made.
- h. The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear, but the committee determines that the interest of justice require admission of his/her statement, the committee will identify the witness, disclose his/her statement, and if possible, provide for written interrogation.
- i. In the hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.

- j. The hearing committee will not be bound by strict rules of legal evidence, and may admit any evidence which is of probative value in determining the issues involved. Every reasonable effort will be made to obtain the most reliable evidence available.
 - k. The findings of fact and the decision will be based solely on the hearing record.
 - l. Except for such simple announcements as may be required covering the time of hearing and similar matters, public statements and publicity about the case by the hearing committee, the faculty member, and the administrative officers will be avoided until the proceedings have been completed, including consideration by the Board of Trustees. The Provost and the faculty member will be notified of the recommendation in writing and will be given a copy of the record of the hearing.
4. The hearing committee shall report to the President within 30 days after the selection of its presiding officer. The committee may conclude, and shall report to the President, that the conduct with which the faculty member is charged (a) merits dismissal or (b) does not merit dismissal. If the committee concludes that the conduct does merit dismissal, but that there are circumstances that warrant clemency, it will so recommend, with supporting reasons. If the committee concludes that the conduct does not merit dismissal, (a) it may recommend that the conduct does not merit any disciplinary action or (b) it may recommend a penalty short of dismissal.
5. If the President does not accept the recommendation of the hearing committee, he/she will state the reasons therefore to the hearing committee and to the faculty member within 14 days after receiving the report of the hearing committee. The hearing committee shall, within 14 days, prepare a rejoinder or notify the President that it intends no rejoinder. The President shall within 10 days notify the faculty member, the hearing committee, and the Committee of Three of his/her decision in the case, together with reasons therefore if he/she does impose a penalty.

The President shall report to the next meeting of the Board of Trustees any action taken by him or her in response to the report of a hearing committee. If dismissal or other penalty is invoked, the faculty member may within 30 days request the President to notify the Board of Trustees that the faculty member wishes to appeal the decision. The President shall then within 10 days transmit to the Board the record of the case. In such an event, the Board's review will be based on the record of the committee hearing and the correspondence between the hearing committee and the President after the hearing committee makes its recommendation. This review will provide opportunity for argument, oral or written or both, by the principals at the hearing or by their representatives. Such a review must be scheduled within 21 days of the date on which the Board members are supplied with the record. Since the review deals with personnel matters, it will be closed unless the faculty member requires in writing that it be open. If the Board disagrees with the recommendations of the hearing committee, it will so notify the committee with specific objections. Taking into account the stated objections, and receiving new evidence if necessary, the committee will then reply to the Board within 10 days. The Board will make a final decision only after study of the committee's reply.

6. Expeditious completion of these procedures is in the best interests of all parties concerned. The time limits specified are maxima. The Committee of Three may, upon request, extend, for cause, any of the foregoing time limits.

I. Suspensions

Until the final decision on dismissal has been reached, the faculty member may be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to him/herself or others is threatened by his/her continuance. Before suspending a faculty member, pending an ultimate determination of his status, the administration will consult the Committee of Three. Suspension is appropriate only pending a hearing; a suspension which is intended to be final is a dismissal, and will be dealt with as such. Salary will continue during the period of suspension.

J. Terminal Salary

~~Tenured faculty~~ ~~Faculty members on continuous appointment~~ who are dismissed for reasons other than not involving moral turpitude will receive their salaries for at least a year from the date of notification of dismissal, whether or not they are continued in their duties at the University. Faculty members on probationary appointment will receive their salaries to the end of the current year.

K. Retirement

1. A faculty member's decision to retire is understood to be an individual one, but in the interests of continuity and proper academic planning, it is expected that the faculty member will give notice of his/her plans at the earliest opportunity. least a year in advance.

~~Since it is in the interest of the University and the public that emeriti, as defined in paragraph 5, continue their scholarly activities, the University encourages the maintenance of informal and scholarly contacts between emeriti and their active colleagues and will endeavor to provide working space, equipment, library facilities, and the like to all who can demonstrate reasonable need. Such support will be contingent upon availability of resources at the time. Deans and department heads, where appropriate, will seek to enlist the services of emeriti in professional activities such as lecturing, serving on academic committees, and advising students.~~

~~The President will annually hold an appropriate event to honor non faculty professional staff with at least fifteen years service to the University and all retiring faculty. The President will present a certificate of service and such other marks of recognition as he or she may deem suitable. Those honored each October will be those with retirement dates on October 1 of that year or during the year preceding October. Their names will appear in the program for the Commencement held during that year. Especially distinguished retirees will be honored by appropriate special recognition by the University.~~

~~There shall be a standing committee on retirement of members of the professional staff. Whenever a member of the professional staff applies for retirement, the committee will be notified of the fact. The committee will then gather together whatever evidence it feels necessary to formulate a recommendation to the President as to whether the retiring staff member should be given special recognition by the University or whether any such recognition should be left to the individual school or college. In most cases,~~

Comment [dbm100]: Section moved to 4. below

Comment [dbm101]: Deleted this section as inappropriate for By-law item

~~the committee will recommend that the matter of recognition be left to the individual school or college.~~

2. ~~Any~~ member of the faculty, who at the time of retirement is at the University of Connecticut and retires under the provisions of the State Retirement Act or the Alternate Retirement Plan, may by vote of the Board of Trustees or Health Center Board of Directors ~~become an~~ be awarded emeritus ~~status member of the faculty~~ provided that one of the following conditions is met:

Comment [dbm102]: Clarified process and eliminated confusion.

a. The faculty member has served at least 25 years at collegiate institutions including at least five years at the University of Connecticut.

b. The faculty member has attained the rank of full professor at the University of Connecticut.

3. There shall be a standing University of Connecticut Retirement Committee. Faculty not meeting either conditions in Section 2a or Section 2b above may become emeriti by vote of the Board of Trustees following recommendation of the President and the ~~University of Connecticut Faculty~~ Retirement Committee. Other professional staff are also eligible for this designation following recommendation of the President and the ~~University of Connecticut~~ Retirement Committee.

4. It is in the interest of the University that emeriti, as defined in paragraph 2 continue their scholarly activities. The University encourages the maintenance of informal and scholarly contacts between emeriti and their active colleagues and will endeavor to provide working space, equipment, library facilities, and the like to all who can demonstrate reasonable need. Such support will be contingent upon availability of resources at the time. Deans and department heads, where appropriate, may invite emeriti for professional activities such as lecturing, serving on academic committees, and advising students.

Policies and Procedures Relating to Rank, Salary, and Advancement

~~A University exists for the twofold purpose of teaching and research the dissemination of knowledge and the extension of the boundaries of the known. Though it must have buildings and equipment, wise administrators, and earnest and intelligent students, it is obvious that its purpose cannot be accomplished unless its teachers are without exception competent, and in as many cases as possible, distinguished to a greater or less degree.~~

Comment [dbm103]: Entire section moved to D. above

~~The policies of the University in respect to rank, salary, and advancement of teachers evidently have an important bearing on its success. Along with favorable working and housing conditions, a reasonable teaching load, a stimulating intellectual climate, the assurance of academic freedom and tenure and a liberal retirement system, they make it possible to attract and retain desirable teachers, despite the competition of other comparable colleges and universities and of non-academic employers. These policies are therefore established and carried out primarily to enable the University to fulfill its function. If through shortsightedness or lack of funds it falls below accepted standards in its financial relations with its teachers, it cannot increase nor even hope to maintain its value to society.~~

~~A teacher's salary is in large part a payment for services rendered, determined at their current value. However, except for those who have reached the climax of their careers, it includes an additional element which is an investment by the University in the potentialities of the teacher. As members of a learned profession, teachers may be expected to be conscious of their responsibility to themselves, to the University, and to society. They cannot fulfill their responsibility without continuing, throughout their active lives, to invest a part of their time, energy, and money in their own intellectual growth. Adequate salaries will permit the assumption of the expenses of travel and study and other professional and cultural activities, will relieve teachers of the drain on their time caused by the performance of routine tasks beyond the demands of exercise and recreation, and will provide in other respects an appropriate standard of living. Inadequate salaries are contrary to the interest of the University, because they curtail faculty development, or force faculty to supplement earnings at the expense of the time needed for study, thought, and research and may, of course, even involve the loss of valuable staff members.~~

~~Policies for promotion should operate to advance the most promising, and to hold back, or, in accordance with established practices regarding tenure, to eliminate the incompetent and the mediocre. They should give careful consideration both to current performance and to future promise, and should convey an assurance of impartiality by recognizing and rewarding accomplishment and by maintaining opportunities for advancement. To do this they must be based on merit, determined on the broadest possible basis, and must not be matters of routine or mere seniority.~~

~~The value of a teacher to the University results from the possession of a number of different qualities. In enumerating certain of these, it is not intended to formulate a rigid set of standards, nor to require that all teachers attain a stated minimum in each of the items. The value of each person is rather to be judged by considering both his or her strong and weak points so as to arrive at an estimate of his or her total contribution. No fixed numerical weighting can be prescribed, though greater emphasis should be placed on scholarship, teaching ability, and activity in research than on other characteristics.~~

~~Tenure and promotion in the professorial ranks will be granted only to persons of outstanding achievement. Specific evidence of superior performance in scholarship and in teaching is of primary importance. As a minimum standard for tenure and/or promotion there must be evidence of strong performance in both scholarship and teaching and superior achievement in at least one of these areas. In addition, other contributions to the University will be considered. In individual cases where it is demonstrated that there has been meritorious professional service through which the faculty member has achieved distinction in the profession, such service may also receive significant weight.~~

~~2. *Qualities desired in teachers of all ranks*~~

~~All candidates for appointment and promotion, as well as all other teachers, are expected to show satisfactory attainment and continuous growth in the following qualities, though in varying degrees and in different proportions. The teacher's accomplishment in each should be evaluated on every occasion when advancement in salary or rank is being considered, and particular care must be exercised when it is proposed to terminate the probationary period by placing him or her on permanent tenure or otherwise.~~

~~Professional competence in the field of his or her specialization, as evidenced initially by the record of his or her training and scholastic achievement, and later by the opinion of~~

professional colleagues here and elsewhere; and in certain fields by the execution of professional commissions, the giving of expert testimony, and the like; or by the holding of a license for professional practice, where licensing has been established.

Teaching ability and performance, beginning with the capacity to excite interest and evoke response in students, to broaden their outlook, to impart knowledge, to see and convey relationships, to encourage the faculty of criticism, and to stimulate a sense of inquiry. The educational role of the faculty member is not confined to the classroom. It should include willing skillful attention to the individual student who can profit from additional help in the mastery of a course to which the teacher is assigned.—Also important is the role of academic advisor, in which a good teacher will encourage students to gain as much as possible from the educational resources of the University, and will guide the student to the proper selection of courses consistent with his or her academic and life goals.

Research and such other scholarly activity as gives evidence of the effective utilization and continuing development of his or her natural endowment. This will ordinarily eventuate in publications, lectures, or papers at professional meetings, and should in any case be reflected in the vitality of the person's teaching.—Such activity will take many forms, some of which are:

Study, including reading, laboratory work, and museum work;

Membership and appropriate activity in one or more professional societies;

Writing—creative, critical, analytical, summarizing, or editorial;

Creative work in other fields, such as the arts and engineering;

Research, including both the routine application of known techniques to the accumulation and analysis of new data, and the invaluable gift of making fundamental contributions to knowledge—the former to be expected of many teachers, and the latter to be hoped for in a few.

Creative activity in the arts, and the ability to make research contributions of the second or fundamental kind will be especially noted and rewarded.

Although the three qualities listed above are the ones that should receive the greatest consideration, the following items bearing on professional fitness also should be taken into account, particularly when new appointments are being made and at the end of the probationary period.—Ordinarily these qualities do not offer the same opportunity for continuous development as do those in the first list.

Personal attributes; integrity, industry, open mindedness, objectivity, friendliness, effectiveness in speaking, capacity for leadership and cooperation, breadth of intellectual interests.

Concern for the educational, social, and personal welfare of students, such as is demonstrated, for example, by success in counseling.

Willingness and ability to assist in the various types of service which a state University renders, in the answering of inquiries, the giving of advice, the conduct of surveys, and the like.

Competence in fulfilling responsibilities toward democratic University government, as in department and faculty meetings, committee work, and administrative duties.

A sympathetic but discriminating interest in the development of the University, and the assumption of a share of responsibility for the efficient execution of its functions; or, in the case of recent appointees, indication that this interest will develop in due time.

- 3.—In addition to these general desiderata, the following special qualifications will be borne in mind in making appointments or promotions to the several ranks:

Special qualifications for instructors

~~Training or experience appropriate to the performance of his or her assigned responsibilities. In many cases this will mean the possession of, or evidence of substantial progress toward, the Ph.D. degree, or its equivalent. If a young teacher who does not hold that degree is appointed, the University should in most cases insist that this essential preparation be completed early, and should afford such practical assistance as is reasonable by providing working facilities and by lightening his or her load or granting leave.~~

~~A consensus on the part of those qualified to judge that the faculty member's training, experience, and interest in his or her subject are appropriate for the performance of the duties to be assigned.~~

~~Note: Two years is regarded as the normal length of service in the rank of instructor for those who are qualified for advancement at the end of this period.~~

~~For certain types of teaching, it may be more desirable to appoint persons whose qualifications will not ordinarily entitle them to advance into the upper levels of rank and salary. In some fields, for example in the creative arts, the possession of the Ph.D. is not the best criterion of professional competence.~~

Special qualifications for assistant professors

~~The possession of the Ph.D. degree, or its equivalent.~~

~~A record of success in his or her work, based on all obtainable information. This may include the judgment of colleagues, information from students, and occasionally the comparisons of the progress and achievement of his or her students with that of groups of approximately equal ability in the same or similar courses.~~

~~Note: Ordinarily, six years is regarded as the normal length of service in the rank of assistant professor.~~

~~(3) Ordinarily, those in the rank of assistant professor are not eligible for tenure. Continued reappointment of a person, after it is clear that he or she/he will not become eligible for permanent tenure, cannot be justified on grounds of immediate convenience.~~

~~In his or her own interest and that of the University, he or she/he should be released after the customary notice.~~

Special qualifications for associate professors

~~Continued growth in the qualities desired in all teachers, especially, evidence that he or she is keeping abreast of the times in method and subject matter, and a consensus among colleagues that the faculty member is making a substantial contribution to the advancement of knowledge in his or her field.~~

Special qualifications for professors

~~Service here or elsewhere as an associate professor of at least five years except when there is evidence that he or she is of superior ability as compared with other associate professors.~~

~~Evidence that he or she is regarded by colleagues within and without the University as a capable, mature teacher, and a recognized scholar.~~

~~4. Procedure~~

~~The status of every teacher with regard to salary and rank shall be considered at least once each year. The head of the department shall ordinarily be responsible for seeing that this is done.~~

~~It is the duty of each department head to conduct a continuing appraisal of the work and potentialities of the people in the department, and by informal consultation to ascertain the views of the other members of the department. It is his or her responsibility not only to give his or her own appraisal but also to transmit that of his or her colleagues within the department. In this connection it should be emphasized that all such evaluations are to be based on the criteria listed above. Recommendations with supporting data shall be sent to the dean of the school or college, and by the dean, with his or her own recommendations, to the Provost and Executive Vice President for Academic Affairs.~~

~~Before a teacher is placed on permanent tenure the Provost and Executive Vice President for Academic Affairs shall appoint at least five teachers to act as advisers, and he or she may follow the same procedure in other cases of proposed advancement, or at the request of a teacher who desires such consideration. These advisers shall normally include representatives both of the candidate's department, and of at least two other departments. The selection of advisers shall be confidential, and those who serve shall, without meeting as a committee, report individually to the Provost and Executive Vice President for Academic Affairs their answers to such questions as he or she/he may submit to them. Reports shall be confidential, and record thereof kept in summary form only.~~

~~The Provost and Executive Vice President for Academic Affairs should experiment with various plans for ascertaining the judgment of a candidate's colleagues concerning proposed advancement, and should report the results to the Senate for further consideration. The research activities of candidates shall be judged by those who are reasonably competent in the general field, who have read the publications of the candidate, and who are familiar with the progress of his or her unpublished work. Care must be exercised to determine the actual amount and true nature of the work. It will be well not to place undue emphasis upon mere volume of publication.~~

~~In view of the paramount importance of good teaching, and the difficulty of judging the quality of a teacher's performance, a survey of student opinion may be made at the teacher's request, or when his or her promotion is under consideration. It shall be conducted according to a general plan approved by the University Senate on February 10, 1947 as amended on December 11, 1967 and on April 11, 1977. Caution must be observed to discount mass prejudices, and to avoid overestimating the impressions of the moment, which may well be different from the considered judgment of later years. If the teacher has requested the survey, the general nature of the results shall be communicated to him or her, and this may be done in any case. The results shall also be available to deans and heads of departments, but the actual replies are confidential and shall be destroyed after they have been summarized.~~

~~The Provost and Executive Vice President for Academic Affairs will accept from teachers at any time information about qualifications which they think are apt to be overlooked, and may request such data from teachers.~~

~~Final action on promotions and increases in salary will be based on all available evidence, and will be taken by the Board of Trustees upon the joint recommendation of the Provost and Executive Vice President for Academic Affairs, the dean of the college, the department head, and such other officers as may from time to time be charged with this responsibility.~~

~~5.—Special Titles~~

~~Board of Trustees Distinguished Professor~~

~~The title “Board of Trustees Distinguished Professor” should be reserved exclusively to recognize faculty who have achieved exceptional distinction in scholarship, teaching and service while at the University of Connecticut.~~

~~The Board of Trustees Distinguished Professor title will be conferred as a result of a peer review process. The Review Committee will solicit and evaluate all nominations. The Review Committee will obtain detailed information including materials from external sources and recommend candidates to the Board of Trustees via the Provost and Executive Vice President for Academic Affairs.~~

~~The title will normally be awarded to three persons per year. Up to five persons per year may be recognized when the total number of Board of Trustees Distinguished Professors drops below 5% of the full professors on the active faculty.~~

L. **Leaves of Absence**

Comment [dbm104]: Moved from K

1. *Sabbatical Leaves*

a. Sabbatical leave is a privilege to be applied for in each case and is in no instance to be considered an earned requisite. Such leaves may be granted on application for the purpose of the advancement of knowledge or professional improvement of mutual benefit to the University and the individual. Following such leave, individuals are obligated to return to active service at the University for a minimum of one year. The applicant should file a specific written application accompanied by a statement as to how the leave is to be used. This application should be ~~passed on-approved~~ by the department head ~~and~~ the dean or director, ~~and to~~ the Provost ~~and Executive Vice President for Academic Affairs~~ or the appropriate Vice President, who will in turn, ~~will~~ submit it to the Board of Trustees with his/her recommendation.

The privilege is open to all full-time ~~resident~~ teachers, ~~experiment station and extension staff workers~~, who have at least the rank of assistant professor or a corresponding rank, and who have been in continuous full-time service at the institution for at least six years. Following a grant of sabbatical leave the privilege may be renewed after an additional period of continuous full-time service of at least six years. Exceptions in regard to continuous service may be made upon recommendation of the Provost or the appropriate Vice President and the approval of the Board of Trustees or the Board of Directors. The receipt of grant or fellowship funds to cover travel and other expenses incidental to the leave will not ordinarily interfere with impact the granting of a request for such leave.

Comment [dbm105]: Language moved from paragraph below and added UCHC specific authority.

b. The duration of the leave granted shall be determined by the Provost or the appropriate Vice President. Six years of continuous full-time service is defined as full-time service for at least twelve of the fourteen semesters preceding the leave. Each sabbatical leave eligibility is for a period of one year (two semesters). Leave may be taken for the full period at half pay or for up to half the period at full pay. After each period of eligibility in which a sabbatical leave is taken, whether for all or a portion of the period, there must be at least six years of continuous full-time service before the next eligibility period. Thus the timing of eligibility periods is not affected by whether leave is taken for a full period at half pay or for up to half

Comment [dbm106]: Language moved from paragraph below.

the period at full pay. Faculty members in tenure track positions are not eligible for sabbatical leave before the last year of their probationary periods.

Comment [dbm107]: To clarify sabbatic leaves applicable to tenure track faculty

~~Exception in regard to continuous service may be made upon recommendation of the Provost and Executive Vice President for Academic Affairs or the appropriate Vice President and the approval of the Board.~~

~~The duration of the leave granted shall be determined by the Provost and Executive Vice President for Academic Affairs or the appropriate Vice President. Leave for faculty members of the resident instruction division employed on an eleven months' basis, or for faculty in the Schools of Medicine and Dental Medicine may be for a period of up to six months with full pay, or for a period up to twelve months with half pay. Leave for members of the resident instruction division employed for nine months of the year may be for one semester with full pay, or two semesters with half pay. Leave for members of the Extension and Experiment Station divisions may be a corresponding length of time, taken at a period of the year when their work will be least interrupted by absence.~~

~~c. The receipt of grant or fellowship funds to cover travel and other expenses incidental to the leave will not ordinarily interfere with the granting of a request for such leave.~~ Sabbatical leave, whether at full or reduced pay, is considered full-time service, and therefore persons on sabbatical leave are not permitted to engage in paid employment elsewhere. If a staff member is considering an arrangement in which he/she will receive compensation for services from the University and from outside agencies which will together exceed his/her regular University salary, the staff member is expected to take a leave without pay rather than a sabbatical leave.

Comment [dbm108]: University has not considered incidental funding in making sabbatical leave decisions/seems unnecessary

~~The recommendation of the head of the department and of the dean in charge of the school or college shall accompany applications for leave.~~

Comment [dbm109]: Moved below

d. Members of the administrative groups professional staff are in a separate classification. They shall make their application directly to the President if the unit reports to the President; or to the Provost ~~and Executive Vice President for Academic Affairs~~; or to the appropriate Vice President, if any.

e. The recommendation of the head of the department and of the dean in charge of the school or college shall accompany applications for leave. All applications should be made at least one year prior to the date when the leave is to begin. Ordinarily the grantee will receive notification that the leave is granted at least two months before the end of the semester previous to the one in which the leave is to begin.

f. Arrangements for carrying on the duties of a person on leave shall be made by the appropriate department head and dean in consultation with the faculty member as appropriate. The department head is expected to certify whether or not the work of the department can be carried on if the leave is granted substantially as it would have been otherwise. If courses would have been withdrawn or other changes made in the department's program even without the granting of the leave, the changes may be made during the leave; but it is not expected that sabbatical leaves will be granted if they must be taken at the expense of the students or of the regular departmental program.

Comment [dbm110]: To align with practices across Univ.

~~g. If an approved leave~~~~In case a leave, after being approved,~~ is postponed for a period by the administration, ~~and then taken,~~ the applicant's next leave may be granted for the year in which it would have fallen if there had been no such postponement. ~~Except in such instances service in excess of six years is not cumulative.~~

Comment [dbm111]: Sentence unclear as to meaning

~~h. Sabbatical l~~eaves are granted in the expectation that the recipient will resume his/her previous duties at the end of the leave. Ordinarily the staff member will return at the same rank and salary which he/she had when the leave began. This understanding, however, is subject to the qualification (which applies in the same degree to those in residence) that the Board may sometimes find it necessary to change the compensation or duties of some or all staff members because of changes in enrollment, financial exigencies, or other circumstances beyond its control. The grant of leave does not change the tenure-status of the recipient.

~~i.~~ After leave has been taken, a written report of the work done shall be made to the officer who approved the leave through the department head and the dean or director.

2. Leave Without Pay

Leave of absence without pay may be granted by the President for those units which report to the President or by the Provost or the Vice Presidents for reasons considered to be in the best interest of the University and in the interests of professional growth and improvement of the staff member concerned. All such cases are treated as special cases, and are in the first instance ordinarily granted for up to a year. Professional ~~s~~Staff members desiring such leaves should apply through their department heads and deans and through the appropriate Vice President, if any. A report of all such leaves as are granted shall be made to the Board of Trustees for their information.

3. Military Leave

Comment [dbm112]: Section rephrased to ensure alignment with applicable state and federal laws

~~Members of the professional staff who are eligible for military leave consistent with applicable state and federal law. have been in continuous full time service at the University for a period of six months or more and who leave the University to enter the armed forces of the United States will be granted military leave for the time served in such military or naval service, plus ninety days additional.~~ Part-time employees will be granted such leave if they have worked the equivalent of six months or more full time. Thus, an employee would become eligible after twelve months of half-time employment, etc.

~~Any position which becomes available because of the approval of military leave for a member of our professional staff may be filled after securing proper approval, but only for the duration of the military leave of the employee entering military service. Persons employed to fill such vacancies earn no tenure rights, and should be so notified in advance by the employing department head.~~

~~The State law provides that any member of the professional staff granted military leave "will be reinstated in his former position and duties, providing that he makes application to return to the University within ninety days after he is discharged from the armed forces, and he is mentally and physically able to work, and work is available."~~

~~4. Sick Leave for Faculty Members of the Professional Staff, With or Without Pay~~

Each case is considered separately and involves careful consideration of length of service, nature of the illness, and anticipated length of disability. Application for sick leave should be made not later than ten days after the staff member's return to work.

Comment [dbm113]: Eliminated reference to all professional staff because UCPEA negotiated applicable contract language and M/C have sick leave allocations.

5. *Other Regulations Regarding Leave of Absence*

a. No employee of the University of Connecticut shall receive leave ~~of absence~~ with pay for service in any elective political office.

b. No member of the professional staff shall be absent from his/her ~~proper~~ duties at the University except by permission of the department head. Short leaves to cover emergency situations may be granted by the department head, who will make such arrangements as are feasible to re-assign the absent staff member's work. In each such case the department head will file a record of the matter with the dean. No such emergency leave shall be granted for a longer period than ten days without previous permission of the President for those units which report to the President or by the Provost ~~and Executive Vice President for Academic Affairs~~ or the appropriate Vice ~~President~~. ~~(All classified employees shall be governed by regulations of the State Personnel Department as to hours of employment, sick leave, and vacations.)~~

Comment [dbm114]: This is the only reference to classified staff and is not necessary in the By-laws. Civil Service rules and union contracts govern.

~~No professional staff members or employees except classified employees shall be entitled to receive extra compensation for any service performed by them for the University, unless upon express authority of the Board.~~

Comment [dbm115]: Extra comp and comp time have been addressed via policy and contract language

c. Except in very unusual circumstances, no tenured or tenure track faculty member may receive a leave of absence to accept a tenured or tenure track position with another University. Such exceptions will require advance approval from the Provost.

~~L. Professional Staff Loads~~

~~1. While members of the professional staff of this University are employed for a variety of duties, as a general rule the University will expect to assign to each full-time member of the professional staff duties which are reasonable and consistent with good and effective teaching practices at both the undergraduate and graduate levels. In conjunction with this, staff members will be expected to carry a reasonable amount of ordinary departmental duties and routine committee responsibilities and to undertake those activities of self improvement and professional development which are part of every faculty member's investment in his or her own future. Such assigned responsibilities as unusually heavy loads of student counseling, the chairmanship of committees which are unusually time-consuming, research projects which have been designated as a part of the staff member's assigned load, unusually heavy enrollments in courses, and assigned administrative duties will be considered in determining the number of contact hours assigned to any individual.~~

Comment [dbm116]: This section was moved to follow D above.

~~Assignment of duties will be made by the appropriate deans, directors, and department heads, subject to review as to general policy by the Provost and Executive Vice President for Academic Affairs, the appropriate Vice President, and~~

~~President. Insofar as it is possible, consistent with the development of a balanced offering of University services, these assignments should take into account the aptitudes and wishes of individual staff members and their opportunities for long-run professional development.~~

- ~~2. In general, the teaching duties of each department shall be regarded as a joint responsibility of all its members, to be divided as far as possible by mutual agreement, with proper attention to the interests and activities of all. It shall be the responsibility of the department head to make decisions when agreement is lacking, and to submit the complete schedule of teaching engagements to the appropriate dean.~~

~~The preceding paragraph does not imply that teaching loads and assignments of individual faculty members are to be determined by departmental vote. Departmental action is to be limited to consideration of general policy.~~

- ~~3. In settling details of teaching schedules within the department or in meeting situations that arise on short notice, the department head has a three fold responsibility which should be kept in mind:~~

~~a. The responsibility to understand and put into effect the general policies and program of the University.~~

~~b. The responsibility to act on behalf of and as a representative of the department. The entire professional staff of the department, in departmental meeting, should consider the department's professional program. All members should participate in the formulation of general departmental policy, both for long-run development and current decisions.~~

~~The responsibility to individual members of the departmental staff. The department head should discuss with each member of the department his or her ambitions and aspirations within the University and within the profession. While no one is completely a free agent to lay out a program exactly as one pleases, scholarly activity flourishes best in an environment of self direction and self propulsion.~~

- M. ~~No member of the professional staff or other~~ employee in the service of the University shall devote to private purposes any portion of the time due the University without consent as may be provided in established University policy. ~~Faculty members~~ Members of the professional staff may take on outside consulting and research activities only after the specific project has been approved by the appropriate University official. ~~For those units and individuals who report directly to the President, except for staff members in Institutional Advancement, the approval of the President is required. For those units that report to a Vice President, the approval of the appropriate Vice President is required. For all other employees, the approval required is that of the Provost and Executive Vice President for Academic Affairs. Such approval shall take into account the time required, the nature of the service, potential conflict of interest, and the contribution of such activities to the professional advancement of the staff member. Any changes with respect to these matters after the project has been initiated shall also require approval in advance.~~ Nothing herein contained shall be construed as authorizing any private practice by any full-time member of the faculty of either the School of Medicine or the School of Dental Medicine.

Comment [dbm117]: All text to the sentence beginning with 'Nothing' is covered in the faculty consulting policy and based on Ethics law

- N. To the extent that there are facilities available, University employees are entitled to receive from the University unit responsible for student health services immediate care for injuries incurred in the line of duty. This unit is to offer limited primary medical care services to University employees within available resources, on a fee for service basis.

O. The University Libraries shall ~~make be available for maximum use by the staff and students, and by the people of the State, the library materials and plant and shall cooperate with individual staff members in making available to students in specific areas of work the full resources of the library—used by faculty, staff, and students and as appropriate, by the citizens of the State.~~

Comment [dbm118]: To simplify language

P. Members of the faculty are permitted to audit courses without payment of fees, subject to consent of instructor and availability of library, laboratory, and classroom facilities.

Q. No full-time member of the professional staff may take for credit any academic work at this institution or elsewhere during that employee's regular working hours, without prior written approval of the President for those units which report to him or her or the Provost ~~or appropriate Vice President, and Executive Vice President for Academic Affairs.~~

R. The existence of a ~~close~~ family relationship to a staff member does not affect the eligibility of any person for employment by the University. To avoid potential conflict between personal and institutional interests, no staff member may be assigned responsibility for supervising the work of a ~~close family relative consistent with the University's policy on nepotism, member without the consent of the President. Where a potential conflict of interest exists, the President shall designate a surrogate to make recommendations concerning appointment, salary, promotion, or tenure.~~

S. **University Faculty Grievance Procedure⁴**

If a member of the faculty under the jurisdiction of the Provost ~~excluding the faculty in the Schools of Medicine and Dental Medicine,~~ believes there is a cause for grievance which cannot be resolved by ordinary means, the complainant may request the Committee of Three (~~Article X-G IX G. 2.~~) to appoint a hearing committee to evaluate the grievance and to make appropriate recommendations concerning its resolution.

1. Complaints involving promotion, tenure, and reappointment decisions may be brought to the Committee of Three only at the end of a sequence of peer review procedures, including those of the Faculty Review Board (~~See Article I X.G.~~).

2. Other complaints may be brought to the Committee of Three only after appropriate administrative remedies have been exhausted.

3. ~~The Committee of Three is empowered to mediate the complaint informally in consultation If, after consultation~~ with the complainant, the person or persons against whom the grievance is lodged, and such other persons as the committee deems appropriate.

4. ~~If,~~ the Committee of Three has been unable to mediate the complaint informally ~~or determines mediation is not appropriate under the circumstances~~ and believes that there may be such substance to the grievance as to justify further investigation, it shall

Comment [dbm119]: Intent of Task force is to clarify

⁴ This procedure applies to individual grievances not covered by Article XIV.F, H, and I.

appoint an ad hoc hearing committee of three or five faculty members and convey the grievant's written statement of the grievance to the hearing committee with a copy (or copies) to be sent to the person(s) against whom the grievance is lodged.

5. The hearing committee shall be empowered to have access to information it deems pertinent, to hold hearings and interviews, and to seek informal resolution of the issues raised. The hearing committee, after consulting all parties to the dispute, may decide to conduct its proceedings in confidence, or, with the concurrence of the grievant, to hold public hearings. Parties to the proceedings may, if they choose, be represented. It is incumbent upon all parties to refrain from aggravation of the issues during the course of grievance proceedings.

6. The hearing committees appointed by the Committee of Three shall be instructed by the Committee of Three to determine:

a. Whether the relevant procedures established by the University have been followed in the case before them.

b. Whether in substance the grievant has just cause for complaint.

c. In cases involving promotion, tenure, and reappointment:

i. the sufficiency and relevance of the evidence employed in making the decision.

ii. whether the decision arrived at was in reasonable conformity with the evidence considered.

d. Appropriate remedy, if any.

7. The hearing committee will make a report of its findings and recommendations to the Provost, with copies to the grievant, the person(s) against whom the grievance is lodged, and the Committee of Three. In those cases involving a grievance against the Provost the report shall be sent to the President.

8. The collective bargaining agent shall be informed by the hearing committee of the substance of its report to the President or Provost.

9. Within thirty days of receipt of the hearing committee's report, the President or Provost shall inform the hearing committee, in writing, of his/her response to its recommendations, with copies to the grievant, the person(s) against whom the grievance is lodged, and the Committee of Three.

10. The collective bargaining agent shall be informed by the President or Provost of his/her response. The Committee of Three may make the hearing committee's findings and the response of the President or Provost known to persons or groups it deems appropriate.

11. If not satisfied with the outcome of the hearing committee's investigation and the action of the President or Provost in response thereto, the grievant may within thirty days of receiving the response, address a written appeal to the Board of Trustees through the

President or Provost. The Board of Trustees will respond to the appeal in writing within a reasonable time.

T. Health Center Faculty Grievance Procedure⁵

Under most circumstances, a faculty member in the School of Medicine or the School of Dental Medicine who has a grievance will seek resolution through the usual channels of administrative authority (e.g., initial referral of the grievance to the Department Chair, to the dean of the appropriate school and then to the Provost) or through the appropriate standing faculty appeals committees (e.g. space or compensation appeals committees) if any. If resolution is not possible or if the aggrieved party is dissatisfied with the proposed resolution(s), faculty peer review committees are empowered to hear grievances. Grievances related to promotion, reappointment and tenure issues shall first be reviewed to the Health Center Faculty Review Board (HCFRB). In the case of a possible dismissal of a tenured faculty, the grievance will be referred to the [University of Connecticut](#) Committee of Three at Storrs [see By-Laws Article XIV.G]. All other appeals and grievances will be referred directly to the Health Center Appeals Committee (HCAC).

1. Health Center Faculty Review Board (HCFRB)

a. The Health Center Faculty Review Board (HCFRB), in its advisory role to the Provost, shall be the primary body to hear grievances related to promotion, reappointment and tenure. It shall consist of a standing committee of seven (7) members, with two (2) representatives from basic science departments, two (2) from clinical dental departments, and three (3) from clinical medical departments. Each member must be a School of Medicine or School of Dental Medicine faculty member of senior rank on the UCHC payroll, and may not be a Department Chair or Type II Center Director or a dean of any rank, or be a current member of the Committee on Appointments and Promotions of either the School of Medicine or the School of Dental Medicine. The term of service is three (3) years and terms shall be staggered. The chair will be selected from the membership by the HCFRB. Each year, a nominating committee consisting of the chairpersons of the School of Medicine Oversight Committee and the School of Dental Medicine Council shall select at least two (2) candidates from the appropriate constituency to fill vacancies. The members of the HCFRB shall be elected by the faculty of the Schools of Medicine and Dental Medicine who are paid by the UCHC. The HCFRB will develop, revise as necessary and post rules governing its processing of grievances. Such rules must be in compliance with the University's Laws and By-Laws.

b. Grievances may be brought to the HCFRB by the aggrieved party or referral by the Provost and must be submitted to the Chair of the HCFRB in the form of a cover letter and accompanied by supporting documents. Copies of the cover letter and materials will be sent to the Provost and to the person or persons against whom the grievance is lodged. The process of referral or evaluation of a grievance shall commence within 15 working days after formal filing of the grievance.

⁵ This procedure applies to individual grievances not covered by Article XIV.F, H, and I.

- c. The HCFRB may conduct its proceedings in closed session or, with the concurrence of the grievant, hold public hearings. Parties to the proceedings may choose to be represented. The HCFRB shall evaluate the grievance in a prompt and timely manner.
- d. The HCFRB will submit its report and recommendations to the Provost. Copies of its report shall be sent to the grievant and to the person(s) against whom the grievance is lodged. In cases of grievances against the Provost, a copy of the report shall be sent to the President. Final disposition of grievances shall be effected without unnecessary delay.
- e. If not satisfied with the outcome of the HCFRB investigation and the action of the Provost in response thereto, the grievant or the person or persons against whom the grievance is lodged may within thirty days of receiving the response, address a written appeal to the HCAC.

2. Health Center Appeals Committee (HCAC)

- a. This committee shall be a standing committee consisting of three (3) permanent members. The permanent members will include one (1) representative each from a basic science department, a clinical dental department, and a clinical medical department. Permanent members shall be School of Medicine or School of Dental Medicine faculty members of professorial rank on the UCHC payroll. They shall be elected by the faculty of the Schools of Medicine and Dental Medicine who are paid by the UCHC from a slate of candidates nominated by the chairs of the School of Dental Medicine Council and the School of Medicine Oversight Committee to serve staggered terms of six (6) years. A permanent member may not be a current member of the HCFRB or the Committee on Appointments and Promotions of either school, and may not be a Department Chair, Type II Center Director, or dean of any rank. The HCAC will develop, revise as necessary and publish rules governing its processing of grievances. Such rules must be in compliance with the University's Laws and By-Laws.
- b. Grievances may be brought to the HCAC directly by the aggrieved party or referral by the Provost and must be submitted to the Chair of the HCAC in the form of a cover letter and accompanied by supporting documents. Copies of the cover letter and supporting documents will be sent to the Provost and Executive Vice President for Academic Affairs and to the person or persons against whom the grievance is lodged. The process of referral or evaluation of a grievance shall commence within 15 working days after formal filing of the grievance.
- c. If, after consultation with the complainant, the person or persons against whom the grievance is lodged, and such other persons as the committee deems appropriate, the HCAC has been unable to mediate the complaint informally, it then must determine if the complaint has enough substance to warrant a full hearing.
- d. The HCAC may not come to a decision that there is insufficient substance to justify further investigation without first providing the grievant an opportunity to address the HCAC in person. In such a case the grievant may be represented.

- e. If the HCAC believes that there may be such substance to the grievances as to justify further investigation, it shall appoint a five member ad hoc committee called the Hearing Committee. Members of the HCAC may serve on the Hearing Committee. The ad hoc members must be of senior rank, but not necessarily full professors, and must otherwise meet the same restrictions on eligibility as described for members of the HCFRB and HCAC.
- f. The Hearing Committee shall be empowered to have access to information it deems pertinent, to hold hearings and interviews, and to seek informal resolution of the issues raised. The grievant and the person or person(s) to whom the grievance is lodged will be afforded the opportunity to directly address the Hearing Committee in person. The Hearing Committee, after consulting all parties to the dispute, may decide to conduct its proceedings in private, or, with the concurrence of the grievant, to hold public hearings. Parties to the proceedings may, if they choose, be represented. It is incumbent upon all parties to refrain from aggravation of the issues during the course of grievance proceedings.

The Hearing Committees shall determine:

1. Whether the relevant procedures established by the University have been followed in the case before them.
 2. Whether the grievant has just cause for complaint.
 3. In cases involving promotion, tenure, and reappointment:
 - a. Whether the evidence employed in making the decision was sufficient and relevant.
 - b. Whether the decision was reasonable considering the evidence presented.
 4. An appropriate remedy, if any.
- g. The Hearing Committee will issue its report and recommendations to the Provost. In those cases involving a grievance against the Provost the report shall be sent to the President. Within thirty days of receipt of the Hearing Committee's report, the President or the Provost shall inform the Hearing Committee in writing, of his/her response to its recommendations, with copies to the grievant, the person(s) against whom the grievance is lodged, and the HCAC. Final disposition of grievances by the Health Center Appeals Committee shall be effected without unnecessary delay.
- h. If not satisfied with the outcome of the Health Center Appeals Committees' investigation and the action of the President or Provost in response thereto, the grievant, the person against whom the grievance is lodged, the University President or Provost may, within thirty days of receiving the response, address a written appeal to the University of Connecticut Health Center Board of Directors through the President or Provost.

3. Board of Directors

The Board of Directors or its designee will examine the grievance for the process and will respond to the appeal in writing within a reasonable time. At its discretion, the Board of Directors or its designee may elect to mediate the grievance, conduct further investigation, and/or act on the grievance. If the Board of Directors or its designee elects to hold interviews or hearings, these may be held in public only with the concurrence of the grievant. All parties to interviews and hearings may be represented.

U. **Grievance Procedure for Other Professional Staff**

Comment [dbm120]: Grievance procedure clarified and streamlined.

A member of the ~~non-faculty management-confidential~~ professional staff who believes he/she has cause for a grievance that cannot be adjusted by informal means may present a formal grievance under the following procedure:

1. The employee, with or without a representative, shall first present the grievance to the immediate supervisor. The immediate supervisor shall answer in writing to the employee within seven calendar days from the date the grievance is submitted.

2. When the answer is not satisfactory to the employee, the employee, with or without a representative, shall present the grievance to the ~~appropriate Vice-President dean of the school or college, or the director of the division in which the aggrieved staff member is employed.~~ The ~~Vice-President dean or director~~ shall answer in writing to the employee within seven calendar days thereafter.

3. An employee who is still aggrieved may appeal the grievance to ~~the an ad hoc~~ Appeal Board, appointed by the President. ~~Members of T~~ the Appeal Board shall ~~be appointed by the President and shall consist of seven members include~~ at least four ~~of which shall be~~ members of the ~~non-faculty management confidential~~ professional staff. ~~The Appeal Board shall consist of seven members, who shall serve for three year terms. Initially, however, two members shall be appointed for a one year term, two members for a two-year term, and three members for a three year term. The Appeal Board may establish rules for its own procedures, including rules which will permit hearings and other activities of the Board to be conducted by fewer than all seven members.~~ The grievant may be represented in matters before the Appeal Board.

4. The decision of the Appeal Board shall be in writing and shall be in the form of a recommendation to the President, ~~for units which report to the President or to the Provost and Executive Vice President for Academic Affairs or to the appropriate Vice President.~~ Copies of the Appeal Board's recommendation shall be forwarded to the employee.

ARTICLE XV – General Policies and Practices

A. No organization or group shall discriminate against or exclude a person because of race, religion, national origin or other protected class recognized by state or federal anti-discrimination laws, on that land owned or operated by the ~~people of this State and known as the~~ University of Connecticut, and organizations or groups that are found to have

Comment [dbm121]: Language seemed unnecessary

violated state or federal anti-discrimination laws shall not have the use of University-owned or operated buildings or property.

- B. All purchasing and contracting for supplies, equipment and/or services and the management, accounting and deposit of University funds must conform to applicable state statutes and University policies and procedures.

Comment [dbm122]: Reworded to conform to established policy and practice and incorporate C below.

~~All requests for purchases of supplies and equipment must be made on requisition to the Controller. No contracts involving the University may be entered into by any faculty or staff member or employee without consent of the Controller. If requests to the Controller are denied, the person making the request may appeal to the President for the units which report to the President or to the Provost or to the appropriate Vice President.~~

~~Any employee of the University receiving funds as payment to the University must remit same promptly to the Business Office.~~

Comment [dbm123]: State statute governs

- C. Any business or communication from members or groups of the University staff which concerns the University or its departments and which requires action by the Board of Trustees shall be presented to the Board by the President of the University. If the President refuses or neglects to place such business or communication or any part thereof before the Trustees within a reasonable time, those concerned may present their petition directly to the Board.

- D. All apparatus, museum and scientific collections, and other University property shall be in the immediate charge of the department head ~~of the department~~ to which such material has been assigned, subject, however, to the control of the appropriate Vice President. Every person having charge of any apparatus, specimens, books, collections, or other University property shall be held responsible for the ir safety ~~of same~~, and shall carefully keep ensure a record or inventory of all property for which he/she is responsible is maintained in compliance with University policy.

- E. The name or insignia of the University shall not be used by any individual or by any group not duly organized as a part of the University without the approval of the President.

F. **Naming of Facilities**

The act of naming or renaming a University facility for a person, family or organization confers one of the University's highest and most conspicuous honors. ~~This act, which is reserved for those who have made extraordinary contributions to the University of Connecticut, praises the person, family or organization and exhibits the judgment and standards of the University as to the qualities and actions that justify linking the name of the person, family or organization so honored with that of the University. Naming a facility is to be taken with extraordinary care and with due concern for how that action will be viewed in the retrospect of decades.~~

Comment [dbm124]: This whole sentence is unnecessary and is reflected in the first.

The President is authorized to establish guidelines and procedures in accordance with this policy for naming University facilities. The naming of any facility must be approved by the University of Connecticut Board of Trustees upon recommendation of the University President.

G. ~~The Research Foundation (Based on the State's General Statutes)~~ Intellectual Property

Comment [C125]: Original language restated the statute; revision reflects use of plain english

1. *Ownership of inventions*⁶

The University shall be entitled to own, or to participate in the ownership of, any invention, on the following conditions:

a. The University shall be entitled to own the entire right, title and interest in and to any invention:

i. conceived by one employee solely or by employees jointly in any instance in which such invention is conceived in the course of performance of customary or assigned duties of the employee inventor or inventors, or

ii. in which the invention emerges from any research, development or other program of the University, or

iii. is conceived or developed wholly or partly at the expense of the University, or

iv. with the aid of its equipment, facilities or personnel.

b. In each such instance, the employee inventor shall be deemed to be obligated, by reason of employment by the University, to (i) disclose the invention fully and promptly to an authorized executive of the University; (ii) to assign to the University the entire right, title and interest in and to each such invention; (iii) to execute such instruments of assignment to that effect; (iv) to execute such proper patent applications on such invention as may be requested by an authorized executive of the University, and (v) to give all reasonable aid in the prosecution of such patent applications and the procurement of patents.~~Research Foundation~~

Definitions:

As used in sections H.2. to H.8., inclusive, "University means the University of Connecticut; "Board" means the Board of Trustees of the University; "foundation" means the research foundation established in accordance with section H.2.; "employee" means any member of the faculty or staff of the University or the foundation, or any other employee thereof; "invention" means any invention or discovery and shall be divided into the following categories:

- Any invention conceived by one employee solely, or by employees jointly;
- Any invention conceived by one or more employees jointly with one or more other persons;
- Any invention conceived by one or more persons not employees;

c. The University shall have the rights defined in Section G.1.a. with respect to inventions conceived jointly between employees and non-employees, to the extent to which an employee has or employees have disposable interests therein; and to the

⁶ For the purpose of this section, 'invention' shall mean that which is produced for the first time through the use of imagination or ingenious thinking and experiment.

same extent the employee or employees shall be obligated as defined in said Section G.1.b.

d. The University shall have no right to inventions conceived by non-employees, except as may be otherwise provided in contracts, express or implied, between the University and those entitled to the control of inventions.

2. ~~Establishment and management of foundation~~ *Management of Intellectual Property*

The University shall:

The Board is authorized to establish and manage the foundation as provided herein. The foundation may, subject to direction, regulation and authorization or ratification by the Board:

— Receive, solicit, contract for and collect, and hold in separate custody for purposes herein expressed or implied, endowments, donations, compensation and reimbursement, in the form of money paid or promised, services, materials, equipment or any other things tangible or intangible that may be acceptable to the foundation.

— Disburse funds acquired by the foundation from any source, for purposes of instruction, research, invention, discovery, development or engineering, for the dissemination of information related to such activities, and for other purposes approved by the Board and consistent with section H.1. to H.8., inclusive.

a. File and prosecute patent applications and obtain patents, relating to inventions or discoveries which the University may be justly entitled to own or control, wholly or partly, under circumstances hereinafter defined; and receive and hold in separate custody, assignments, grants, licenses and other rights in respect to such inventions, discoveries, patent applications and patents.

b. Make assignments, grants, licenses or other disposal, equitably in the public interest, of any rights owned, acquired or controlled by the foundation the University, in or to inventions, discoveries, patent applications and patents, and to charge therefore and collect, and to incorporate such funds in the custody of the foundation University, reasonable compensation in such form and measure as the Board of Trustees authorizes or ratifies.

c. Execute contracts with employees and others for the purpose of carrying out the appropriate management of the University's intellectual property provisions of sections H.1. through H.8., inclusive. All property and rights of every character, tangible and intangible, placed in the custody of the foundation in accordance with said sections shall be held by the foundation in trust for the uses of the University. The entire beneficial ownership of intellectual property thereof shall vest in the University and the Board shall exercise complete control thereof.

Ownership of inventions

The University shall be entitled to own, or to participate in the ownership of, and to place in the custody of the foundation to the extent of such ownership, any invention, on the following conditions:

The University shall be entitled to own the entire right, title and interest in and to any invention in Section H.1.a., in any instance in which such invention is conceived in the course of performance of customary or assigned duties of the employee inventor or inventors, or in which the invention emerges from any research, development or other program of the University, or is conceived or developed wholly or partly at the expense of the University, or with the aid of its equipment, facilities or personnel. In each such instance, the employee inventor shall be deemed to be obligated, by reason of employment by the University, to disclose the invention fully and promptly to an authorized executive of the University; to assign to the University the entire right, title and interest in and to each invention in Section H.1.a.; to execute such instruments of assignment to that effect; to execute such proper patent applications on such invention as may be requested by an authorized executive of the University, and to give all reasonable aid in the prosecution of such patent applications and the procurement of patents thereon;

a. The University shall have the rights defined in Section H.3.a. with respect to inventions in Section H.2.b., to the extent to which an employee has or employees have disposable interests therein; and to the same extent the employee or employees shall be obligated as defined in said Section H.3.a.

b. The University shall have no right to inventions in Section H.2.c., except as may be otherwise provided in contracts, express or implied, between the University or the foundation and those entitled to the control of inventions in Section H.2.c.

3. *Employees to share in proceeds*

a. Each employee who conceives any invention and discharges his/her obligations to the University as herein before provided shall be entitled to share in any net proceeds that may be derived from the assignment, grant, license or other disposal of such invention.

b. ~~The amount of such net~~ Proceeds shall be computed ~~by, or with the approval of, the Board,~~ with reasonable promptness after collection ~~thereof,~~ and after deducting from gross proceeds ~~such the~~ costs and expenses ~~as may be~~ allocated to ~~the that particular~~ invention or discovery.

c. A minimum of twenty percent of the ~~amount of such~~ net proceeds shall be paid to an employee who solely conceived or made the invention, and shall be paid in shares to two or more employees who jointly made the invention ~~in such respective proportions as the Board may determine.~~ The Board ~~in its discretion~~ of Trustees may increase the amount by which any employee or employees may participate in such net proceeds.

4. Disagreements procedure *Dispute Resolution*

Disagreements as to the allocation of any invention to ~~a one of said. categories category,~~ or ~~as to~~ with respect to the obligations of any employee, ~~or due performance thereof,~~ or with respect to participation of any employee in net proceeds, or with respect to the rights or obligations with reference to inventions in any category, ~~or due~~

~~performance thereof, or as to or as to the rights or obligations with reference to inventions in any category,~~ shall be ~~disposed of~~ **resolved** as follows:

- a. By voluntary arbitration of all relevant issues, if the disagreeing parties approve and agree to be bound by the decision upon such arbitration.
- b. By compulsory arbitration if that is provided for in any applicable contract between the disagreeing parties.
- c. By recourse to courts of appropriate jurisdiction within the State if arbitration cannot be resorted to under either subsection (a) or (b) of this section.

5. *Regulations for arbitration*

The Board is authorized to establish and regulate equitably in the public interest, such measures as the Board deems necessary for the purposes of such arbitration, and to make contracts for compulsory arbitration, in the name of the University ~~or of the foundation.~~

Enforcement of regulations

The Board is authorized to make and enforce regulations to govern the operations of the University and the foundation in accordance with the provision of sections H.1. to H.8., inclusive.

6. *Rights as to products of authorship*

~~The provisions of sections H.1. to H.8. inclusive, shall not entitle~~ ~~the University or the foundation to~~ **shall not** claim any literary, artistic, musical or other product of authorship covered by actual or potential copyright ~~under the~~ laws of the United States; but the University ~~and the foundation~~ shall ~~each~~ be authorized to make and enforce any contract, express or implied, which it may make with respect to any such subject matter.

I. Establishment of University Regional Campuses

Before a new campus of the University of Connecticut is opened in any locality, the University's Board of Trustees must be convinced that a significant number of prospective students in that locality are unable to secure education at the college level from resources already available in the community, and that there is urgent local demand for the University to establish a campus there. ~~The recent policy of the Board has been to require interested persons in the locality to provide the original physical plant without cost to the state. Barring an unusual and demonstrable emergency, any decision to open a new campus would be preceded by full public discussion in the area to be served including discussion with existing institutions already in the area.~~

J. Student Organizations

Responsibility for the oversight and, where appropriate, support of student organizations is vested with the Vice President for Student Affairs or his/her designee. Such oversight shall include but not be limited to the development of policies and procedures related to student organization registration, recognition and activities.

Comment [dbm126]: The referenced policy has not been used and DHE policy requires public input and discussion so need not be restated here.

Comment [dbm127]: Section redrafted by Student Affairs, subsequently reviewed by Attorney Urban and minor edits added by By Law working group on 1/5/9.

1. ~~The University recognizes the right of any group of students to form a voluntary organization for any purpose not forbidden-prohibited by law. Student organizations wishing to hold meetings and events in University facilities and be eligible for advice, training, and support from the University must have an active membership comprised chiefly of registered students and have met and maintained registration requirements as determined by the Vice President of Student Affairs or his/her designee. Such organizations shall be deemed 'registered student organizations.' ~~If an organization composed chiefly or exclusively of students desires to hold meetings in University buildings, it is required to have an advisor who is a member of the professional staff of the University, and to file with the Dean of Students such information as may be required about its purposes, officers, memberships, dues, and the like, such information to be uniform for all organizations. An organization which has fulfilled these requirements is called a registered organization. Aside from the supervision exercised through the Division of Student Affairs over housing and certain purely social activities,~~~~

2. ~~The University as such assumes no responsibility for the actions and activities of registered student organizations or their membership, registered organizations or their programs, though such organizations, if closely connected with the activities of departments of instruction, may in some cases receive special help and supervision from those departments.~~

Registered student organizations having a formal advisee/advisor relationship with a University department may, in some cases, receive special help and supervision from those departments.

University faculty, staff and graduate assistants serving in an advisory capacity for registered student organizations will not be held responsible for the actions of student organization members provided any advice offered is consistent with applicable University, State and Federal laws and is in the best interest of the safety of students and all individuals involved.

3. So far as its facilities permit, the University will provide ~~each such~~ registered student organizations with suitable meeting places without charge, and will ~~endeavor to~~ encourage and protect ~~complete-lawful~~ freedom of expression ~~within the law in during~~ meetings of such organizations. The responsibility for any views expressed in such meetings ~~is solely that of the~~ vests with the individuals concerned, ~~and the~~ The University's role is not ~~held~~ to approve or disapprove such views, whatever their nature, but to be concerned exclusively with the discharge of its educational obligation to facilitate free discussion of all points of view, to the extent guaranteed by the Constitution of the United States and of the State of Connecticut. The University does not ~~pass upon~~ approve the qualifications of speakers whom registered student organizations invite to address them, nor, except as to availability of space and related issues of public safety, on the number or size of meetings which may be held.

4. The name of the University shall not be used by any group not duly authorized as a part of the University, nor by any individual, without the approval of the President or his/her designee. Registered-Registered student organizations are considered not to be "not duly organized as a part of the University." In authorizing or denying the use of the name of the University, the President will, in general, be guided by the need of making

clear to the public the nature of the relation of the organization in question to the University.

5. The University places no restrictions as to purpose on the solicitation of funds by registered student organizations, within or without the University community unless such activities violate state or federal laws. The time, place, and method of solicitation within the University by registered student organizations shall be governed by regulations established by the Dean of Students in the interest of public safety, avoiding over-crowding and unreasonable interference with those using an area for other purposes.

K. Use, possession, sale, distribution or manufacture of alcohol, controlled substances and/or drugs or drug paraphernalia are prohibited except as expressly permitted by law and University regulations.

In accordance with State statutes, the use of intoxicating liquors by minors is not permitted in any of the dormitories, educational facilities, and public premises of the University.

L. Regulations Regarding Residence

1. All students, before registering for classes for the first time at the University of Connecticut, must file an affidavit of residence, on forms prescribed by the University. On the basis of this information, each entering student will be initially classified as a Connecticut or an Out-of-State student.
2. The status of each student will be determined by the definitions established by the Connecticut General Assembly in the Connecticut General Statutes, Chapter 185, Part H.
3. The failure of a student to disclose fully and accurately all facts relating to his or her residence status shall be grounds for suspension or expulsion.

M. Policy Regarding the Expression of Dissent

1. Orderly picketing and other forms of peaceful demonstration are permitted outside of buildings and in other public gathering areas. areas specifically designated for University activities. Significant interference with entry into or exit from such buildings or areas or with the free movement of any person on the University campus is not permissible.
2. Entry into University buildings, meeting halls, classrooms, and other designated areas may properly be restricted to those engaged in the normal or scheduled activities being conducted. The presence of unauthorized persons in such areas leading to substantial interference with other University activities, after due notice has been given, orally or in writing, will be construed as interfering with or obstructing a University activity and is not permissible.
3. The creation of loud or excessive noise that substantially disrupts or interferes with classes or other University activities is not permissible.

Comment [dbm128]: Section reviewed with suggestions from Atty. Urban

Comment [dbm129]: Must this term be used when the word 'excessive' precedes it?

4. Direct personal abuse, whether physical or verbal, that significantly infringes upon individual ~~the~~ rights of others to participate in the academic community or leads to substantial disruption of a University related activity is not permissible.

Comment [dbm130]: How do these modifications square with fostering a harassment free; bullying free work place?

N. Commencement

Commencement Exercises are authorized at the conclusion of both the Fall and Spring semesters.

Comment [dbm131]: Permits needed flexibility in schedule and location of commencements

~~All graduation ceremonies shall be held at Storrs.~~

~~The provisions of the preceding section to the contrary notwithstanding, a separate graduation ceremony at an appropriate time in Farmington and at the University of Connecticut School of Law in Hartford is authorized for the graduating students in the Schools of Medicine, Dental Medicine and Law.~~

ARTICLE XVI – Advisory Search Committee for President

- A.** The purpose of the committee is to assist the Board of Trustees in its statutory responsibility of selecting the President of the University of Connecticut. To this end, the committee will need to conduct a broad search, developing a diverse candidate pool, screen qualified candidates, and make appropriate recommendations to the Board.
- B.** The committee will be appointed by the Board of Trustees from recommendations submitted from various constituencies, including trustees, ~~administrators~~ professional staff, faculty, students, and alumni. The committee should be large enough to represent each of the constituencies adequately. The Chair of the Board of Trustees shall serve *ex officio* as the Chair of the Search Committee. ~~The faculty~~ Faculty members of the search committee will include ~~the~~ faculty members of the Senate Executive Committee.
- C.** The Board of Trustees should designate a small steering committee of the Advisory Search committee, composed of committee members who can devote long hours to the work. The steering committee will be used to expedite the search procedures in ways agreed upon by the full committee. It will keep the full committee informed of the progress of the search by means of periodic meetings and, when appropriate, by written report.
- D.** In order to insure equity and an objective evaluation of all candidates, it is essential that information on all candidates be available to each member of the committee and that no candidate be allowed to by-pass consideration by the committee.
- E.** The search will normally proceed along the following lines:
1. Clearly defining the needs of the University and the characteristics desired in the person to be chosen.
 2. Developing a list of possible candidates and eliminating those unsuitable or not interested.

Comment [dbm132]: Does not limit membership to only faculty on the SEC and facilitates broader faculty rep (Med/ Dental) while managing committee size

3. Developing a profile of the University for distribution to candidates being seriously considered.
4. Selecting and interviewing the most highly qualified candidates.
5. Ranking the leading candidates by vote and transmitting name(s) of finalist(s) to the Board of Trustees, with whatever qualifications the committee wishes to include.

During all of these stages, the steering committee will recommend steps to be taken to the ~~parent~~ Advisory Search committee, which will be responsible for all decisions.

- F. Every possible method should be used in developing the initial list of candidates, including advertising and the solicitation of names from the various University constituencies, as well as from other sources, such as college presidents, foundation officials, officers of learned societies, business and labor leaders, and other prominent citizens.
- G. Complete confidentiality of all proceedings must be maintained throughout the search; it becomes especially crucial during the later stages. Grave injustice to the candidates and serious harm to the University's reputation result from any breach of confidentiality. The damage to the University may not be immediately discernible, but will become evident in the willingness of outstanding ~~men and women~~ individuals to be considered as candidates for high positions at the University of Connecticut.

ARTICLE XVII – Honorary Degrees

On recommendation of the Honors and Awards Committee and the President, the Board of Trustees may vote to confer honorary degrees on distinguished individuals. The Board should award an honorary degree only in recognition of extraordinary and lasting distinction. The award should represent the highest intellectual and moral values; it should reflect the very character and quality of the University itself.

- A. There shall be an Honors and Awards Committee, consisting of the President, the Provost, (both *ex-officio*), three faculty members nominated by the University Senate Executive Committee ~~of the University Senate~~ and appointed by the President, four members of the Board of Trustees appointed by the Chair of the Board, and two students appointed by the President. The President will chair the Committee. The faculty appointed by the President will serve for staggered terms of five years each and ordinarily may not succeed themselves. Students will serve one-year terms. The Board-appointed members will serve at the pleasure of the Chair.
- B. The Honors and Awards Committee will prepare for approval of the Board of Trustees written criteria and procedures for the selection of candidates for honorary degrees.
- C. Honorary degrees may be conferred at Commencement or at special convocations. Only under extraordinary circumstances will honorary degrees be conferred in absentia.

ARTICLE XVIII – Repeal and Amendment

- | A. All rules, orders, and resolutions of the Board heretofore enacted and in conflict with these By-Laws are hereby repealed.
- | B. These Laws and By-Laws and Rules may be amended at any regular meeting of the Board by a recorded majority vote of all members of the Board, provided that notice of any proposed amendment, including a draft thereof, shall have been given at the previous regular meeting.

ADD LANGUAGE EXPRESSING THAT IF ANY PART OF THE BY-LAWS IS FOUND TO BE INCONSISTENT WITH STATE OR FEDERAL LAW, THE APPLICABLE LAW PREVAILS BUT DOES NOT NEGATE THE REST OF THE BY-LAWS

| 03/29/2009

DRAFT