



# FACULTY HANDBOOK 2020-2021

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**NORTH  
AMERICAN  
UNIVERSITY**

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<b>INTRODUCTION .....</b>	<b>4</b>
NOTICE TO FACULTY .....	4
NAU’S MISSION .....	4
NAU’S CORE VALUES .....	4
REVISIONS TO THE FACULTY HANDBOOK .....	5
<b>NAU FACULTY.....</b>	<b>5</b>
DEFINITIONS .....	5
FACULTY APPOINTMENTS .....	6
CONTRACTS .....	6
<b>ACADEMIC RANK AND PROMOTION .....</b>	<b>7</b>
ACADEMIC RANKS.....	7
CRITERIA FOR APPOINTMENTS AND PROMOTION .....	9
PROMOTION IN RANK PROCESS .....	10
<b>FACULTY SENATE.....</b>	<b>12</b>
<b>FACULTY WORKLOAD, RIGHTS AND RESPONSIBILITIES .....</b>	<b>13</b>
FULL-TIME FACULTY MEMBERS .....	13
<i>Teaching</i> .....	13
<i>Service</i> .....	14
<i>Research</i> .....	14
<i>Administrative Duties</i> .....	14
<i>Outside Employment and/or Business Interests</i> .....	15
ALL FACULTY MEMBERS .....	15
<i>Academic Freedom</i> .....	15
<i>All Employee Meetings</i> .....	16
<i>Attendance at Academic Ceremonies</i> .....	16
<i>Class Meetings</i> .....	16
<i>Conflicts of Commitment</i> .....	16
<i>Conflicts of Interest</i> .....	16
<i>Course Evaluations</i> .....	17
<i>Course Syllabi</i> .....	17
<i>Final Exams</i> .....	17
<i>Intellectual Property and Copyrights</i> .....	18
<i>Office Hours</i> .....	19
<i>Orientation for New Faculty</i> .....	19
<i>Reporting Course Information</i> .....	19
LIST OF DUTIES .....	20
<b>FACULTY DEVELOPMENT AND EVALUATION.....</b>	<b>21</b>
FACULTY DEVELOPMENT PLAN .....	21
IN SERVICE TRAINING AND DEVELOPMENT ACTIVITIES .....	22
PROFESSIONAL GROWTH ACTIVITIES.....	22

FACULTY EVALUATIONS.....	22
FACULTY EVALUATION PROCEDURE .....	23
DEPARTMENT CHAIR EVALUATION PROCEDURE.....	24
<b>DISMISSAL OR SUSPENSION OF FACULTY.....</b>	<b>24</b>
NOTIFICATION OF TERMINATION .....	24
CAUSES FOR DISMISSAL OR SUSPENSION OF FACULTY .....	24
DISMISSAL PROCEEDINGS OF FACULTY MEMBER FOR CAUSE.....	25
RIGHT OF APPEAL.....	26
APPEAL PROCEDURE .....	26
<b>OTHER STUDENT-RELATED INFORMATION FOR FACULTY .....</b>	<b>27</b>
FACULTY/STUDENT RELATIONSHIPS.....	27
ACADEMIC HONESTY .....	28
RELIGIOUS OBSERVANCE.....	28
CONFIDENTIALITY OF STUDENT INFORMATION .....	29
MANDATORY REPORTERS.....	29

# Introduction

The Faculty Handbook provides information on policies and procedures, that by common consent, are those governing North American University (NAU) faculty as a whole. The Faculty Handbook is intended to assist faculty in locating information concerning the University, faculty appointments, academic rank and promotion, Faculty Senate, faculty workload, rights and responsibilities, dismissal and suspension information, and other student-related information for faculty. If you do not find the information you need in the Faculty Handbook, please contact your supervisor or the Human Resources (HR) Office for more information.

## Notice to Faculty

The Faculty Handbook does not create a contract of employment. The contents of this handbook are presented as a matter of information only and do not modify the terms of employment. This handbook does not modify state or federal laws, nor does it serve as legal advice. For employment matters shared by all employees, faculty should refer to the Employee Handbook. NAU HR will ensure timely communication to the faculty of any major changes in the Employee Handbook relating to the faculty.

## NAU's Mission

North American University (NAU) is a private and non-profit institution offering bachelor's and master's degrees. The university is committed to teaching excellence and being student-centered. NAU strives to provide an environment promoting global cultural competency, personal growth and responsible citizenship.

## NAU's Core Values

The following core values should guide all members of the university community as they strive to achieve individual and joint goals: **Learning**—Dedication to discovery, construction, discussion and dissemination of knowledge and its real-world applications. **Honesty and Integrity**—Commitment to truth and consistency in one's actions and communication. **Leadership**—Courage and commitment to lead with integrity, innovation and openness to new ways of thinking and inquiry. **Teamwork**—Pursuit of excellence through consultation and collaboration. **Ethical and Professional Conduct**—Pursuit of high ethical and professional standards in every endeavor. **Human Dignity**—Recognition that every human being is unique and valuable and has something of value to contribute to the college environment and society at large.

## Revisions to the Faculty Handbook

Revisions to the Faculty Handbook are possible in two ways: 1) The Academic Affairs Office may initiate revisions; and 2) the Faculty Senate may initiate revisions. The Academic Affairs Office may approve changes that are trivial, non-substantive, or required by changes in applicable law. Major revisions to the handbook are reported to the President and/or the Board of Trustees for their final approval.

When change is initiated by the Academic Affairs Office, a draft of the revision will be sent to the Faculty Senate for review and comments. The Faculty Senate shall return their comments no later than six weeks after receipt of the draft. Upon receipt of the comments, the Academic Affairs Office will attempt to reconcile any disparities within six weeks. If the revision is not major, a copy of the final revision will be sent to the Faculty Senate. If the change is a major revision, a copy of the final revision will be sent to the Faculty Senate when the Academic Affairs Office reports the revision to the President and/or the Board of Trustees for final approval.

When change is initiated by the Faculty Senate, a draft will be sent to the Academic Affairs Office for review and comments. The Academic Affairs Office shall return their comments and attempt to reconcile any disparities no later than six weeks after receipt of the draft. If the change is not a major revision and is approved by the Academic Affairs Office, a copy of the final revision will be sent to the Faculty Senate. If the change is a major revision, a copy of the final revision will be sent to the Faculty Senate when the Academic Affairs Office reports the revision to the President and/or the Board of Trustees for final approval.

As the Faculty Handbook is amended, the Academic Affairs Office sends an email announcement to all faculty members.

## NAU Faculty

### Definitions

**Full-Time Faculty:** Full-time faculty are employees with a specified academic rank holding a teaching appointment for a fixed term. The definition of full-time faculty can also be found in the Full-time Faculty Policy, PRO.100.3.

**Adjunct:** An adjunct is a part-time faculty member who may have other employment outside the University. The definition of adjunct faculty can also be found in the Adjunct Faculty Policy, PRO.100.4.

**Visiting Faculty:** A visiting faculty member is from another institution who retains his or her status at that institution.

## Faculty Appointments

All appointments to the full-time faculty are made by the Provost & Vice President for Academic Affairs after consultation with the respective Department Chair and Faculty Search Committee. Approvals of the Department Chair, Vice President for Academic Affairs, President, and the Board of Trustees are required for ranks higher than assistant professor.

Appointments of adjunct faculty are recommended by respective Department Chairs based on needs within each department with review of the appointment made in the same manner as with other appointments. Adjunct faculty teaching undergraduate courses must demonstrate on their official transcript of record they have a minimum of 18 semester credit hours or a master's degree at the graduate level and four years of practical work experience. For adjunct faculty teaching graduate level courses an earned doctorate or terminal degree in a related field of study is required and four years of practical work experience.

Visiting faculty member appointments are made in the same manner as for the full-time faculty appointments.

All appointments will be without tenure.

## Contracts

Contracts will state if the faculty member is a full-time faculty member or an adjunct faculty member and shall specify the time period of the contract. The duration of the appointment should be indicated at the time of appointment.

Contracts for full-time faculty are made annually. In most cases and unless otherwise indicated in writing, for full-time faculty both ten and twelve-month contracts begin with the opening of the fall semester.

Contracts for adjunct faculty are made each semester. In most cases for adjunct faculty, the duration of the appointment is one semester only. Adjunct faculty are provided a Job Description and Acknowledgement Letter before onboarding and are hired based on needs within each department. The contract can be renewed indefinitely on the basis of meeting requirements outlined in the Job Description and Acknowledgement Letter.

Contracts for visiting faculty are usually for one year only. In special cases, the contract can be extended for another year.

Contracts for all faculty teaching during summer sessions or other interim sessions may be negotiated separately.

## Academic Rank and Promotion

### Academic Ranks

This section applies to full-time faculty. Unless otherwise specified, this section does not apply to other faculty.

NAU recognizes academic excellence, experience, and meritorious contributions to higher education by awarding academic rank to faculty who perform with distinction in these areas. Academic rank is granted by the Provost and Vice President for Academic Affairs in combination with the President and the Board of Trustees based on the University's faculty personnel policies.

The academic ranks of the University are professor, associate professor, assistant professor, lecturer and instructor. The senior ranks of professor and associate professor are granted as a result of outstanding teaching, scholarship and research, leadership, and service achievements. Faculty who hold senior ranks are exemplary, possess ethical stature, and provide academic and scholarly leadership to developing faculty. For these reasons, serious attention is given to scholarly, intellectual, and ethical stature of individuals selected for the senior ranks. The ranks of assistant professor, lecturer and instructor are for faculty in the developmental states of their teaching careers.

The following general guidelines, from the Faculty Appointment Policy, PRO.100.6, shall be applied in the appointment and promotion of full-time faculty to academic rank:

**Instructor:** An earned master's degree or eighteen (18) graduate hours in a relevant teaching field awarded by an accredited institution. Credentials which indicate the potential for effective classroom teaching. The first appointment as instructor shall normally be for one year. Reappointments, if made, are for one year.

**Lecturer:** An earned master's degree or eighteen (18) graduate hours in a relevant teaching field awarded by an accredited institution. Credentials which indicate the potential for

effective classroom teaching, contributions to the University and profession, and in appropriate instances, successful performance of non-teaching or administrative duties. The first appointment as lecturer shall normally be for one year, although appointment may be for two years. Reappointments, if made, are for one year or two years

**Assistant Professor:** Appointments at the rank of assistant professor are for periods of five years. The maximum term of service at the rank of assistant professor may not exceed seven years, not including time on non-academic leave. To be appointed at the rank of assistant professor, a faculty member shall meet the following requirements:

An earned doctorate relevant to the teaching field awarded by an accredited or internationally-recognized institution of higher education. Academic credentials which indicate the potential for effective classroom teaching, research/scholarship, contributions to the University and profession, and in appropriate instances, successful performance of non-teaching or administrative duties.

**Associate Professor:** To be appointed at the rank of associate professor, a faculty member shall meet the following requirements: An earned doctorate relevant to the teaching field awarded by an accredited or internationally-recognized institution of higher education. Five (5) years of higher education teaching experience in full-time appointment(s). Five (5) years of experience at the assistant professor rank. Demonstrated record of effective classroom teaching, research/scholarship, contributions to the University and profession, and in appropriate instances, successful performance of non-teaching or administrative duties. Noteworthy achievement in the following categories: classroom teaching; research/scholarship; contributions to the institution and profession; or, in appropriate instances, performance of non-teaching or administrative duties.

**Professor:** To be appointed at the rank of professor, a faculty member shall meet the following requirements: An earned doctorate relevant to the teaching field awarded by an accredited or internationally-recognized institution of higher education. Ten (10) years of higher education teaching experience in full-time appointment(s). Five (5) years of experience at the associate professor rank. Demonstrated record of effective classroom teaching, extensive research/scholarship, extensive contributions to the University and profession, and in appropriate instances, exemplary performance of non-teaching or administrative duties. Commendable or outstanding achievement in all the following categories: effective classroom teaching; research/scholarship; contributions to the University and profession; and in selected instances, performance of non-teaching or administrative duties.



## Criteria for Appointments and Promotion

The five basic categories upon which academic rank and promotion in rank is based are: education and experience; effective classroom teaching; research/scholarship; contributions to the University and profession; and, performance of non-teaching or administrative duties. Except for education and experience, criteria related to each category is listed here:

**Effective classroom teaching**—Effective classroom teaching is demonstrated through mastery of a current knowledge base in subject matter taught at an appropriate student level. Such teaching stimulates achievement and practical personal applications by students. A continual review of current literature, research, and strategies for classroom application is necessary to effective teaching. An effective teacher evidences mastery in the classroom by thoroughly integrating skills and knowledge, sensitivity, and perception with the presentation of subject matter. Effective classroom teaching is characterized by (1) subject matter mastery, (2) curriculum development, (3) course design, (4) delivery of instruction, (5) assessment of instruction, (6) availability to students, and (7) fulfillment of instructional administrative responsibilities. Effectiveness will be documented by student evaluation of instruction; department chair evaluations; and other applicable available information.

**Research/scholarship:** Scholarship is demonstrated by the active involvement of a faculty member in the pursuit of new knowledge in his/her academic field or discipline. The scope and nature of faculty scholarship will vary among departments. The University faculty is encouraged to be involved in scholarly activities, individually or collaboratively, which advance the knowledge base and performance levels of their respective fields. Examples of research/scholarship are: adaptations of knowledge to the learning environment, development of marketable instructional materials, creative artistic works evaluated by juries or panels, invitation for professional presentations or performances, articles in refereed or editor–evaluated publications, successful earning grants, selected unpublished research, books, monographs, inventions, patented or copyrighted products, etc.

**Contributions to the University and profession:** Contributions occur when a faculty member applies his/her professional expertise beyond the classroom to advance the University and profession. These contributions should match the educational needs of the student body and the objectives of the University. Contributions to the University may consist of, but are not limited to: academic advisement of students, sponsorship of student organizations, membership on ad hoc and standing committees, consultation to other areas of the University, participation in institutional or program self–study activities, and special assignments or responsible participation in activities which advance the academic programs of the University. Professional contributions include involvement in various professional organizations in a manner that accrues favorable notice to the individual and the University.

Evidence of such contributions may consist of, but are not limited to: memberships in professional organizations appropriate to a faculty member's teaching field or area of responsibility, attendance at meetings, holding of offices, and serving on committees at local, state, regional, and national levels of said professional organizations. Contributions to the University and profession do not apply to full-time faculty at the instructor level.

**Performance of non-teaching or administrative duties:** These duties include but are not limited to: departmental management; public relations; classroom, studio, office or other physical facility management; personnel management; equipment and supplies management; fiscal management; and time management. The performance of such duties is carried out in a timely manner with efficiency and a spirit of cooperation and sensitivity to the needs of students, staff, peers, and supervisors. These duties are carried out in full awareness of both legal and personal responsibilities and limitations. Documentation of performance of non-teaching or administrative duties might include formal and informal observations and evaluations from students, peers, supervisors, and the public.

For the list of the basic categories upon which academic rank and promotion in rank are based, see the Faculty Appointment Policy, PRO.100.6.

## Promotion in Rank Process

The highest interests of the University are served through a spirit of cooperation and a sense of mutual confidence among the faculty, the Provost and Vice President for Academic Affairs, and the President of the University. The process for recommending promotion in rank is designed to encourage such cooperation and mutual confidence.

The application for promotion may be submitted during the year which completed the requirements for the rank as outlined in the criteria above, with a successful application causing promotion effective the following academic year.

A lecturer, upon submitting official transcripts and making official notification to the administration of the completion of a doctoral program, may receive immediate promotion to the rank of assistant professor with approval of the Provost and Vice President for Academic Affairs.

A faculty member must complete at least one year of employment at North American University before applying for promotion to the rank of Associate Professor or Professor.

No person presently employed shall suffer reduction in rank as a result of the operation of this process.

Any exception to the policy or process on promotion in rank is the domain of the Provost and Vice President for Academic Affairs in combination with the President of the University.

It is the responsibility of the individual faculty member to initiate the request for a promotion in rank and to prepare the portfolio of materials. The department chair will advise the faculty member in preparation of this request. It is the responsibility of the individual faculty member to monitor the flow of materials through the process. At any step in the process, the faculty member may withdraw a request for promotion in rank.

The following steps outline the normal process in the promotion process:

**Step 1:** By October 15: The faculty member files a written request for promotion with the department chair. The request must be accompanied by a portfolio exhibiting documentation of effective teaching, research/scholarship, contributions to the University and profession, and performance of non-teaching or administrative duties, if appropriate. Chair should acknowledge the faculty member's request within 10 days.

**Step 2:** By November 15: A Promotion Review Committee shall be formed. Only faculty at or above the rank sought shall serve on the committee. In the event that the number of faculty at the appropriate rank in the faculty member's department is fewer than three (3), the Vice President for Academic Affairs in consultation with the Department Chair will appoint additional faculty at or above the rank to form a group of at least three (3) faculty members to serve as the Promotion Review Committee. Since department chairs will independently review Promotion Review Committee recommendations and make an independent recommendation to the Vice President for Academic Affairs, they should not be members of Promotion Review Committee. The chair of the Promotion Review Committee shall call a meeting of the committee to initiate discussion of the request. Following the initial meeting, the Promotion Review Committee shall begin its work to critique the portfolio and each performance criterion, the faculty member's performance shall also be reviewed, discussed, and evaluated by the Promotion Review Committee. This review shall be conducted in a manner that allows for input from other colleagues, students, alumni, and administrative information from the department chair. After completion of the review, a poll by secret ballot of the Promotion Review Committee will be taken to determine whether a recommendation for the granting of promotion will be made. A simple majority rule shall prevail. All ballots are to be retained by the chair of the Promotion Review Committee until a final decision is reached concerning the request. The ballots shall then be destroyed. The Promotion Review Committee shall then send the portfolio, the committee's vote, and their recommendation to grant or to deny to the department chair.

**Step 3:** By January 15: The department chair shall review the Promotion Review Committee's vote, critique the portfolio, evaluate each performance criterion, and decide whether to recommend the granting of promotion. The department chair will then forward a recommendation concerning the request and all documentation to the Vice President for Academic Affairs. The chair will also provide in writing a statement of his/her action to the Promotion Review Committee and faculty member. If the committee or the chair recommends that promotion be denied, the faculty member has the right to include a rebuttal statement into the faculty's personnel files by February 1.

**Step 4:** By March 15, the Vice President for Academic Affairs shall review the chair's recommendation, the Promotion Review Committee's vote, critique the portfolio, evaluate each performance criterion, and decide whether to recommend the granting of promotion. The Vice President for Academic Affairs will then forward a recommendation concerning the request and all documentation to the President. The President will also provide in writing a statement of his/her action to the department chair, Promotion Review Committee, and faculty member. If the Vice President for Academic Affairs recommends that the promotion be denied, the faculty member has the right to include a rebuttal statement into faculty's personnel files by April 1.

**Step 5:** By May 1, upon receiving a recommendation from the Vice President for Academic Affairs, the President decides either to approve or disapprove the request for promotion. The President approves the request for promotion, s/he submits it to the next Board of Trustees meeting. The President then reports the Board's action to the Vice President for Academic Affairs, the department chair, and the faculty member. If the President disapproves the request for promotion, s/he notifies the Vice President for Academic Affairs, the department chair, the Promotion Review Committee, and the faculty member.

## Faculty Senate

Full-time faculty contribute to university governance through faculty meetings, Faculty Senate meetings, and participation in the university's committees. The Faculty Senate along with the Provost and Vice President for Academic Affairs collaborate to best meet the needs of faculty members. The Faculty Senate is considered as an advisory body to the University administration on all matters that may affect the attainment of the University's educational objectives. The structure of NAU's Faculty Senate, as well as its important role in the University's governance model is explained in the Faculty Senate's by-laws. Senators represent the interests of the faculty through the Faculty Senate on issues affecting the faculty at large. More information about the Faculty Senate (membership, officers, voting,

elections and terms) is available on NAU's Faculty Senate webpage and in the Faculty Senate Policy, PRO.100.8.

# Faculty Workload, Rights and Responsibilities

## Full-Time Faculty Members

Full-time faculty members have responsibilities primarily in teaching and service, which includes academic advising, committees, departmental faculty meetings and professional activities. Additional responsibilities related to research and administrative duties are also described. The scope of the service to University and administrative duties depend upon the needs of the departments and the University.

### Teaching

**Teaching load:** Once approved, full-time faculty are required to teach a minimum of five (5) courses per semester and two (2) courses per summer which equates to 36 semester-credit-hours. A three (3) semester-credit-hour course contains at least 45 hours of engaged learning time a semester. In some cases, with approval from the Provost and Vice President for Academic Affairs, Department Chair, and the facilitation of the Human Resources Office, a faculty member may be given a reduced workload to work on other special projects as assigned. Conversely, a faculty member may be asked to teach an overload outside of the normal teaching load based on need and for additional compensation (each overload course equates to adjunct faculty pay per teaching assignment). Additionally, special circumstances due to increases in enrollment may require faculty members to exceed the normal teaching load. For these special cases, additional reimbursement may also be necessary beyond what is outlined in the annual contract. For example, when class size exceeds 35 students, faculty will be compensated based on the following scale:

<u>Number of Students</u>	<u>Additional Compensation</u>
36 to 40	\$500.00
41 to 45	\$1,000.00
46 to 60	introduce second section
66 to 70	\$500.00
71 to 75	\$1,000.00
76 to 90	introduce third section
96 to 100	\$500

Any additional compensation necessary will be paid at the end of the Academic Year.

## Class Size

**Class Size:** Each academic department shall strive to maintain the following guidelines for class size. The standard maximum class size is 30 and should not exceed 35. The normal minimum class size is ten students. Exceptions to the class size require approval from the Vice President for Academic Affairs.

## Service

**Academic advising:** Academic advising is a very important service responsibility for full-time faculty members. Faculty members are expected to assist students with enrollment, to counsel them about career options, to provide them information about deadlines and checkpoints, and to monitor their progress through programs. Faculty members should be aware of and recommend campus services to students as needed including but not limited to tutoring, library services, the University website, financial aid, counseling, and career services. The department chair selects faculty members to serve as academic advisors.

**Committees;** Full-time faculty members serve on various committees including but not limited to: Faculty Senate, Exceptional Merit Scholarship Committee, SAP Appeals Committee, Complaint/Grievance Committee, Discipline Committee, Faculty Search Committee, and the Graduate Programs Committee. Full-time faculty must serve on at least one university-level committee per semester and take part in faculty governance.

**Departmental Faculty Meetings:** All full-time faculty members are expected to attend departmental faculty meetings regularly and should inform the Department Chair if they expect to be absent.

**Professional Activities:** Membership in selected professional organizations appropriate to a faculty member's assignment is highly encouraged. Involvement in professional organizations at local, state, regional, and national levels consists of attendance at meetings, holding offices, and serving on committees.

## Research

Individual faculty research and scholarly activities are defined by the professional interests of the faculty member. The scope and nature of faculty scholarship will vary among departments. Faculty members are encouraged to be involved in scholarly activities, individually or collaboratively. Both the pursuit of new knowledge or techniques and the application of knowledge in creative ways are valued.

## Administrative Duties

Administrative duties and assignments are based upon the needs of the department and the University. Such assignments will be developed cooperatively between the faculty member and department chair.

## Outside Employment and/or Business Interests

The information in this section can also be found in the Faculty and Staff Conflict of Interest (COI) Policy (PRO.100.5) and in the Conflict of Interest section of NAU's Employee Handbook.

The primary responsibility of a full-time faculty member shall be to North American University. Outside employment, consulting, and professional work opportunities should be avoided which would interfere or hinder the performance and workload responsibilities as stated in the signed Job Description and Acknowledgement Letter. Prior approval is required for a full-time faculty member who is considering outside employment, consulting, and professional work which is deemed outside the scope of their everyday job duties and responsibilities. Full-time faculty members must obtain written consent from the Provost and Vice President for Academic Affairs, Vice President of Administrative Affairs, or the Department Chair before accepting outside employment, consulting, and professional opportunities which are outside of the scope of the work duties and responsibilities and which would pose a conflict of interest or commitment.

## All Faculty Members

The following information is presented in alphabetical order for ease in locating information.

### Academic Freedom

The information in this section can also be found in the Faculty Academic Freedom Policy (PRO.100.7). NAU takes great pride in its faculty members. Faculty are invaluable in shaping students on their academic journey and provide an array of ideologies and perspectives.

To be effective as a scholar and teacher, the faculty member must be free to pursue knowledge and to teach what he or she believes to be true. NAU faculty members are granted this freedom and conduct research and teaching with integrity and competence. Faculty members have academic freedom while disseminating information to students whether it be in the classroom or outside and must avoid content or material which can incite violence, hate, or discrimination. Further, faculty should rely on facts and provide accurate information and make the usual disclaimer that they are not speaking for or on behalf of the University.

### All Employee Meetings

All Employee Meetings are called by the President of the University or the Provost one to two times per semester and coordinated by NAU's Human Resources Office. These meetings provide information from the Administration about the University's initiatives, updates from various NAU departments, and opportunities for professional development. All full-time faculty members are expected to attend and should inform the Department Chair if they expect to be absent. Other faculty members are invited and encouraged to attend.

### Attendance at Academic Ceremonies

All full-time faculty are expected to attend graduation ceremonies and other formal academic ceremonies, as notified, in appropriate regalia. Full-time faculty should inform their Department Chair if they expect to be absent. Other faculty members are invited and encouraged to attend. The University does not pay for or provide for renting regalia.

### Class Meetings

Class meetings are to be held at the times listed for each course as published by the NAU Registrar's Office in the online Course Schedule published for each semester. The determination of course schedules is the responsibility of the Department Chair in consultation with the department's faculty, the Provost and Vice President for Academic Affairs, and the Registrar's Office. Faculty should teach courses at their designated class times and be present for the duration of the class meeting time. In the event of a faculty member's absence from a scheduled class meeting, the respective department chair should be informed to ensure plans are implemented to inform students and to cover the class.

### Conflicts of Commitment

A conflict of commitment may arise when an individual is considering the same job duties at two different locations which would hinder or interfere with the employee member's primary job duties. In the event of such circumstances, the employee should consult with his or her supervisor when considering outside commitments and mitigate these risks.

### Conflicts of Interest

Personal matters and financial links may interfere with employee responsibilities, and as such, may be a conflict of interest. Personal integrity and responsibility of the employee play a key role in preventing conflicts of interest. Employees should be responsible for their conduct outside work and professional activities. The University has a no-solicitation policy and does not allow any sales or distribution of merchandise or services on campus by employees.



## Course Evaluations

NAU strives to have every student complete online course evaluation. NAU's Institutional Effectiveness and Planning Office coordinates the course evaluation process. Faculty are required to follow guidelines for distributing course evaluations to students at specified times during each semester.

## Course Syllabi

Faculty members are expected to prepare a syllabus for each course he or she is teaching. Syllabi shall be submitted to department chair during the first week of the academic semester and be distributed to students during the first class session.

A course syllabus should include the following information:

- Course content and objectives
- Weekly schedule
- Required text(s)
- Method employed in calculating course grade
- Attendance policy
- Office hours and contact information
- Statement of academic honesty
- ADA Policy Statement

Students and department chairs shall be informed of any changes to the syllabus in a timely manner.

## Final Exams

A final examination or equivalent final assessment (such as a final paper or project) will be given in all courses unless specific exception is approved, in writing, by the respective Department Chair. Faculty members seeking such exception should write to the Department Chair explaining why the exception should be made. Faculty members should keep final examination documents for one calendar year.

The final exam schedule is published online by NAU's Registrar. The university expects students and Faculty to follow this schedule and give final examinations within the hours set aside in the examination schedule. This requirement should be clearly articulated in the course syllabus.

Final examinations or the equivalent that occur in class must be given each semester in accordance with the published University's Final Examination schedule so that students' final exams do not conflict with each other. Examination schedules are published online on the university's website under Academics. Faculty may use their discretion to make accommodations for students who have justified reasons for not being able to attend an in-

class final at its scheduled time. No deviation from this printed schedule for in-class final exams or the equivalent is permitted unless specific prior approval has been obtained from the authorized department chair and is reported to the Provost. Faculty teaching online courses who give final exams or the equivalent may choose a due date for these assessments anytime within the university's Final Examination schedule as long as there is reasonable access for students taking in-class exams. Other faculty electing to assign online final exams or the equivalent online assignment may select a completion date no earlier than the first day of final examinations and no later than the last day of final examinations as stated in the Final Examination Schedule in the Academic Calendar. All final exams or the equivalent online assignments (for online courses) must remain open for a period of at least 48 hours.

When conducting examinations, faculty should make every reasonable effort to prevent academic dishonesty, including monitoring the students and taking steps to prevent inappropriate use of electronic devices.

### Intellectual Property and Copyrights

The information in this section can also be found in the Intellectual Property and Copyrights Policy (PRO.100.1) and NAU's Employee Handbook.

Faculty members hold copyright to all course materials, including videos, webinar recordings, discussion questions, assignments, articles, lecture notes and syllabi. Course materials on NAU Moodle, the online course management system, created jointly by faculty authors and others will be jointly owned by the faculty author and the University.

NAU reserves the right to affirm ownership to any intellectual property created under any of the following circumstances: i) Works created with significant use of university facilities, resources, technical support or financial support. ii) Works created as a result of external funding. Funding an employee or student to develop the material.

NAU has ownership of all student coursework, such as assignments, homework, projects, videos, and articles. Copyright notice is required to protect and recognize authorship and the integrity of the work. A copyright notice must be affixed to the intellectual property and contain: i) The word "copyright" or a "c" in a circle. ii) The date of the publication. iii) The name of either the author or owner of all the copyright rights in the published work.

Trademarks and copyrights: Do not use the university's or others' trademarks on a social media site or reproduce the university's or others' material without first obtaining permission.

Legal: Employees are expected to comply with all applicable laws, including but not limited to, Federal Trade Commission (FTC) guidelines, copyright, and trademark laws.

### Office Hours

All faculty are required to post and maintain regular office hours.

Full-time faculty members are required to maintain a minimum of four (4) hours a week in office hours. Office hours should be distributed over at least three days and set at times of the day that will be convenient for students to visit. Office hours should be included in the course syllabus and posted on the faculty member's office door.

Adjunct faculty are generally expected to hold regularly scheduled office hours at the rate of 1 hour per week for each 3-credit course taught. Office hours should be included in the course syllabus.

### Orientation for New Faculty

The onboarding process is coordinated by NAU's Human Resources Office. In addition to the onboarding process, adjunct and full-time faculty are assigned a mentor for the first three months of employment. The faculty mentor acts as a resource for any questions or concerns they may have during their first 90 days. A 90-day evaluation will be given to the employee by their supervisor. For full-time faculty, this evaluation will take place before the annual evaluation and will ensure that quality and ethical practices are adhered to. The 90-day evaluation is not a disciplinary tool but a means to ensure the commitment of faculty, staff, and administrators. More information about the onboarding process can be found in NAU's Employee Handbook.

### Reporting Course Information

All faculty have responsibility for collecting and reporting the following data related to their courses:

**Student Enrollment and Attendance:** Each faculty member is responsible for verifying the accuracy of official class rosters and for reporting in a timely fashion any discrepancies that exist (such as students listed on the roster who are not attending) to the Registrar's Office. Each faculty member is also responsible for taking attendance, maintaining attendance records, and recording attendance in the University's online system(s) in a timely manner throughout the semester. In particular, at the beginning of the semester, through the census date, it is important to verify student attendance and post attendance records in a timely manner. The census date is posted on the online academic calendar. Faculty members

are responsible for explaining details about their rules for attendance in their classes in their course syllabi.

**Academic Progress:** NAU is committed to identifying and assisting students at risk of not maintaining satisfactory academic progress. To assist in this effort, each faculty member is responsible for timely reporting of information about their students who are at risk, meaning likely to receive a 'D' or 'F' in the course. Requests for these reports is typically made beginning at mid-semester. Additionally, faculty should be aware of and recommend campus services to students as needed including but not limited to tutoring services, library services, the University website, and counseling.

**Final Grades and Gradebook:** Each faculty member is responsible for submitting final course grades in the University's learning management system no later than each semester's published dates and times for doing so. Published dates are on the online Academic Calendar maintained by the Registrar's Office. Failure to submit grades by established deadlines causes problems and creates additional work for staff members. Additionally, each faculty is required to submit their course gradebook to the respective Department Chair by the close of each semester.

## List of Duties

In addition to the items already described in this Faculty Workload, Rights and Responsibilities section, faculty members are responsible for the following duties as listed in full time and adjunct faculty job descriptions and the Faculty Workload and Responsibilities Policy, PRO.100.2:

- Prepare and deliver lectures to students
- Compile, administer, and grade examinations and any other assignments
- Distribute and review the course syllabus during the first class meeting
- Submit the course syllabus to the department chair by the end of the first week of each semester
- Utilize active learning methods and use a variety of instructional strategies to meet the objectives of the course
- Submit textbook information, final course grades, and other course related items in a timely manner
- Post and maintain office hours for student appointments according to guidelines
- Interact with students, peers, administrative and support staff in an organized, flexible, fair and professional manner

- Be aware of and recommend campus services to students as needed, including but not limited to library services, the University website, financial aid, counseling, career counseling, tutoring, and student success services
- Meet the professional development and training requirements of the University
- Carry out accreditation-related tasks, including departmental and institutional assessments
- Participate in departmental and University meetings, events, and committees, as appropriate for full-time or adjunct faculty
- Serve as faculty academic advisor to students as assigned (full time faculty only)
- Participate in planning and development of departmental procedures and assessments (full time faculty only)
- Perform other assignments, consistent with Employee's professional abilities, as required and assigned by the Department Chair

For additional information related to this section, see the Faculty Workload and Responsibilities Policy, PRO.100.2.

## Faculty Development and Evaluation

This section on Faculty Development and Evaluation reflects the University's philosophy that professional development, continuous learning, and evaluation are necessary to maintain the quality of the University employees and their continued readiness and ability to carry out the mission and goals of the University. NAU provides assistance and support to faculty to increase the effectiveness of their overall performance in their respective positions; and NAU encourages faculty to acquire knowledge and hone skills which may in turn provide them more opportunities to advance their career within the University.

### Faculty Development Plan

North American University requires academic departments to establish faculty development plans including in- service training and professional growth activities to enhance faculty expertise. The plan must be in writing and shall consist of a combination of in-service activities and professional growth activities. There is to be an annual faculty development plan on file for all faculty members, both full-time and part-time. These plans are to be appropriate for each faculty members' training, education, and related work experience and should provide the proper mix of in-service training and professional growth based on the academic and experiential background of the faculty. Faculty is expected to engage in ongoing development of instructional methods and teaching skills as part of their faculty

development plans.

The evaluation of faculty development is based on the academic calendar. At the beginning of each academic year, department chairs review the faculty development activities completed in the previous academic year. Documentation is required to confirm that the faculty have completed the activities listed on his or her plan. After the review of those activities, a new faculty development plan for the upcoming year is discussed with the Department Chair.

## In Service Training and Development Activities

North American University provides in-service training and development opportunities during normal work hours. In general, such courses and programs are considered as actual hours of work. All faculty should attend these training programs to fulfill their professional development requirements. NAU in-service training and development activities may include but are not limited to: on-the-job training, webinars sponsored by NAU, attendance at courses, seminars, lectures, meetings, and workshops organized by the University. All faculty, including part-time and full-time faculty, are required to attend at least one of the aforementioned activities each academic/fiscal year.

## Professional Growth Activities

Professional growth activities are used to gain or improve knowledge and skills required by the profession or position. Professional growth may be accomplished through a combination of the following activities: i) Membership in educational associations and professional organizations, ii) Participation in continuance of education, concurrent related business experience, educational research, and awareness of current practices and standards, iii) Attendance at seminars, conferences, conventions, field visits, vendor shows, equipment exhibits, and iv) Professional writing.

## Faculty Evaluations

North American University measures all faculty members based on fulfillment of its mission, quality of its degree programs, institutional effectiveness plan, student learning outcomes, course evaluations, and annual student satisfaction surveys. Information from these areas informs the faculty evaluation process.

The primary purposes of the formal, written, annual evaluation are:

- To promote communications between faculty members and department chairs regarding work performance expectations.
- To provide the faculty member an opportunity to present an overview of

achievements.

- To document quality of performance for job security/increased job security, promotion and merit.
- To assist faculty and department chairs in identifying personal career goals through continuing professional development and training in conjunction with the goals of the university, department and department chair.
- To discuss expectations and goals for the upcoming review period.

The evaluation process is not a disciplinary tool. Problems with work performance should be dealt with immediately and should not be left for the evaluation.

## Faculty Evaluation Procedure

**Self-Evaluation** - Self-evaluations are faculty's assessment of their own accomplishments for the academic year as well as goals for the upcoming year. Each faculty member is responsible for completing the self-evaluation form in advance of the meeting with his/her department chair. Self-evaluations are sent to the faculty members by the HR Office each year by the end of September. Within 10 business days, a copy of the completed self-evaluation should be sent by the faculty member to the HR Office and the Department Chair.

**Evaluation** - The Department Chair is then responsible for conducting the evaluation and uses the faculty member's self-evaluation when delivering his/her evaluation to discuss the faculty member's responses. The faculty member and his/her department chair should jointly discuss the performance review, self-evaluation, course evaluations, goals for the upcoming year, and determine applicable plans of action.

Department Chairs should complete Faculty Evaluations within 20 business days from date of receipt of the faculty member's completed self-evaluation or by the end of October. The signatures on the Evaluation Form do not necessarily indicate agreement (by the supervisor or the employee) but acknowledge that both have had an opportunity to read and discuss comments on each evaluation form. Within 5 business days of receiving a performance evaluation, an employee may submit a written response to human resources office, to be attached to the annual performance evaluation. It is the responsibility of the Human Resources Office to maintain a copy in the faculty member's personnel file and to provide a copy of the completed Evaluation Form and any related documents to the faculty member or appropriate designee.

## Department Chair Evaluation Procedure

Self-Evaluation - Self-Evaluations are Department Chairs' assessments of their own accomplishments for the academic year as well as goals for upcoming year. The Department Chair is responsible for completing the Self-Evaluation form in advance of the meeting with his/her Provost. Self-Evaluations are sent to the Department Chairs by the HR Office each year by the end of September. Within 10 business days, a copy of completed self-evaluation should be sent to the HR Office and the Provost.

The Provost is responsible for conducting the evaluation and uses the Department Chair's self-evaluation when delivering the performance review to discuss the Department Chair's responses.

## Dismissal or Suspension of Faculty

### Notification of Termination

The Board of Trustees delegates to the President or the President's designee the authority to reappoint or not to reappoint faculty members. A faculty member whose appointment is not renewed will be given written notice from the University by June 1, prior to termination of the current appointment. Failure to reappoint may be without specific causes.

### Causes for Dismissal or Suspension of Faculty

Causes for dismissal or suspension of faculty may include, but are not limited to, the following:

- Committing a felony or other serious violation of law that is admitted or proved before a competent court,
- Preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities,
- Violation of a court order which relates to the faculty member's proper performance of professional responsibilities.
- Moral turpitude
- Insubordination
- Professional incompetence or dishonesty
- Substantial or repeated failure to fulfill professional duties or responsibilities or substantial or repeated failure to adhere to University policies
- Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities
- An act or acts which demonstrate unfitness to be a member of the faculty



- Falsification of academic credentials
- Two consecutive unsatisfactory performance evaluations
- Bona fide lack of need for one's services in the University
- Bona fide necessity for financial retrenchment

The President shall have the authority to suspend any faculty member formally accused of any aforementioned items above. A faculty member should be suspended only if harm to the faculty or students is possible or disruption of proper conditions for teaching and learning are threatened by the faculty member's continuance. During the suspension period, compensation for the suspended person should be continued. If during the suspension period the faculty member is convicted of or admits to the commission of a felony or a crime involving moral turpitude or other serious violation of law referenced above, the University shall not continue compensation.

A faculty member whose position is terminated based on genuine financial retrenchment, bona fide discontinuance of a program, or a lack of need for one's services, will be given two (2) months written notice unless an emergency arises.

If an appointment is terminated because of financial retrenchment or because of discontinuance of a program, the released faculty member's position will not be filled by a replacement within a period of six (6) months, unless the released faculty member has been offered reappointment at the previous status.

## Dismissal Proceedings of Faculty Member for Cause

Dismissal proceedings shall begin with a conference between the faculty member and the appropriate department chair. The conference may result in agreement that the dismissal proceedings should be discontinued or that the best interest of the faculty member and the University would be served by the faculty member's resignation. If so, the faculty member shall submit a resignation in writing, effective on a mutually agreed upon date. If this conference does not result in mutual agreement, the department chair will submit a recommendation in writing with rationale to the faculty member and to the Vice President for Academic Affairs. Within ten (10) days, the Vice President for Academic Affairs should have a conference with the faculty member.

The conference with the Vice President for Academic Affairs may result in agreement that the dismissal proceedings should be dropped. On the other hand, the conference may result in mutual agreement that the best interest of the faculty member and the University would be served by the faculty member's resignation. If so, the faculty member shall submit a resignation in writing, effective on a mutually agreed upon date. If this conference does not

result in mutual agreement, the Vice President for Academic Affairs will submit his/her decision in writing with rationale to the faculty member and forward his/her decision to the President. If the President concurs in the recommendations for dismissal, the President shall send a written statement to the faculty member within ten (10) school days of his/her receipt of the Vice President for Academic Affairs' recommendation. Copies of this written statement should be sent to the Vice President for Academic Affairs, and the department chair. When the President notifies a faculty member of the intention to recommend dismissal for cause, the faculty member must be informed in writing in detail of the specific charges against him/her and be informed of the procedural rights that will be accorded to him/her. Every reasonable effort must be made by the President to ensure that the communication of this action is received by such faculty members without delay. Such notification must be made by registered or certified mail with return receipt requested.

## Right of Appeal

North American University shall institute an Appellate Committee on Dismissal of Faculty Members. The committee shall not exceed five (5) faculty members elected by the Faculty Senate of the University. One or more alternate members of the committee shall be elected to serve in the event a regular member is unable to serve. If any member of the committee is an interested party in a case which comes before the Appellate Committee on Dismissal of Faculty Members, said committee member shall not serve on that case. The decision of the committee will be based on majority vote. The committee will elect its own chair, who will have the right to vote.

If a faculty member receives notice of a pending dismissal and so desires, s/he may request and shall be accorded a hearing before the Appellate Committee on Dismissal of Faculty Members. Failure to make a request in writing to the President within ten (10) days after receipt of notification shall constitute a waiver by such faculty member of his/her right to a hearing before the Appellate Committee on Dismissal of Faculty Members.

## Appeal Procedure

After a faculty member has requested a hearing before the Appellate Committee on Dismissal of Faculty Members, service of notice of hearing with specific charges in writing will be made at least ten (10) days prior to the hearing. The faculty member may respond by waiving the hearing and filing a written brief or the matter may proceed to a hearing. If the faculty member waives a hearing, but denies the charge or asserts that the charges do not support a finding of adequate cause, the Appellate Committee on Dismissal of Faculty Members will evaluate all available evidence, including testimony and documentary evidence presented by the University, and make its recommendation upon the evidence in

the record.

If the faculty member requests a hearing, the Appellate Committee on Dismissal of Faculty Members shall, with due diligence, and considering the interests of both the University and the faculty member affected, hold a hearing and report its findings and recommendations to the President and to the involved faculty member.

The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the administration of the University will attempt to secure the cooperation of such witnesses and will make available necessary documents and other evidence within its control. No employee of the University, regardless of position, should be excluded or excused from appearing before the committee, if available.

The faculty member and the University will have the right to cross examine all witnesses present. Depositions are admissible whenever a witness cannot appear.

The committee may conclude: (a) that adequate cause for dismissal has been established by the evidence; or (b) that adequate cause for dismissal has not been established by the evidence. The committee may make any other recommendations it determines are appropriate. The committee's findings and recommendations shall be made to the President of the University. The committee shall send a copy of its findings and recommendations to the affected faculty member.

Based on the committee findings and recommendations, the President shall make a decision within ten (10) days and notify the involved faculty member.

## Other Student-Related Information for Faculty

### Faculty/Student Relationships

Professional relationships between faculty members and students should be maintained as a key factor to promote educational mission of North American University. It is the responsibility of the faculty to refrain from violating the dignity, trust and rights of those whom they serve.

Relationships of an intimate nature compromise the integrity of a faculty-student relationship whenever the faculty member has a professional responsibility for the student. The University prohibits intimate relationships including sexual and romantic relationships between a faculty member and a student even if those relationships are consensual.

Faculty members must not engage in consensual romantic and sexual relationships with students, since the faculty member is in a position of professional authority with respect to the student. It is understood that a faculty member has the primary obligation to discourage such a relationship and to discontinue the relationship if it should develop. A faculty member who violates this prohibition will be subject to disciplinary action ranging from verbal warning to termination of employment.

The Vice President for Academic Affairs, or his/her designee, shall be responsible for investigating of complaints of violation of this policy. Confidentiality will be maintained in any investigation to the extent consistent with the need to conduct a thorough investigation.

## Academic Honesty

North American University is dedicated to improving the teaching learning process by ensuring that high ethical standards prevail in all academic matters. Academic dishonesty is a serious violation of the trust upon which an academic community depends. Intentional or unintentional use of phrase, source, idea, full or a part of an article without appropriately citing resources, falsification, fabrication of data, or other forms of deliberate misrepresentation are all considered as academic dishonesty and strictly prohibited. In addition, copying information without putting one's own efforts and contributing to the original information is considered plagiarism. Similar acts that represent other's work as one's own work is considered as an academically dishonest act.

Other forms of academic dishonesty include but not limited to cheating, providing unauthorized aid during an examination, misuse of library materials and not returning materials on time that would be for the disadvantage of other students.

Such behaviors must not be tolerated and must be reported to take the necessary disciplinary action. Faculty members are responsible for initiating the disciplinary process, according to the guidelines, that deals with cases of alleged academic dishonesty. Ignorance of these standards will not be considered a valid excuse or defense.

## Religious Observance

Students who choose not to register for classes, attend classes, or take exams on certain days

because of their religious beliefs will be given an equivalent opportunity to register for classes or to make up the work requirements or exams they miss, without penalties or additional fees.

## Confidentiality of Student Information

North American University complies fully with the provisions of the Family Educational Rights and Privacy Act of 1974 (FERPA). Under FERPA, students have, with certain limited exceptions, the right to inspect and review their educational records and to request the amendment of their records to ensure that they are not inaccurate, misleading, or otherwise in violation of the student's privacy or other rights. All policies and practices governing the collection, maintenance, review, and release of records will be based upon the principles of confidentiality and the student's right to privacy, consistent with FERPA.

## Mandatory Reporters

There are four federal laws that establish responsibilities for employees of North American University to report certain types of crimes and incidents, especially sexual misconduct---the Clery Act in tandem with the Violence Against Women Reauthorization Act of 2013 (VAWA), Title VII and Title IX. Each of these areas of federal law has a different purpose, but generally the laws are intended to protect members of the campus community, visitors and guests from criminal and discriminatory behavior.

It is the policy of North American University to abide by such laws. The responsibilities established by these laws give rise to the term "mandatory reporter." Reporting of concerning and disruptive behaviors is not legally mandated but is a policy mandate to assist in early identification and detection of at-risk situations. North American University's Title IX Mandatory reporting procedure can be found at [www.na.edu/about-nau/title-ix](http://www.na.edu/about-nau/title-ix). For additional information, you may contact the Human Resources Office or the designated Title IX Coordinator and/or Deputy Coordinator.



### NAU's Mission

North American University (NAU) is a private and non-profit institution offering bachelor's and master's degrees. The University is committed to teaching excellence and being student-centered. NAU strives to provide an environment promoting global cultural competency, personal growth, and responsible citizenship.

