2016-2017 REFERENCE GUIDE FOR ARTS AND LETTERS CHAIRPERSONS AND FACULTY

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PREFACE

The Academic Articles are the normative statement of University policies. However, they are generally cast as broad principles. This Reference Guide is an attempt to provide specific
guidance on matters that are either left to interpretation or are not covered by the Academic Articles. As such they represent the standard and expected procedures and policies of the College. These procedures and policies have been developed in committees and approved by the College Council, the chairpersons of the College, or the Dean's Office. The Reference Guide also contains a collection of best practices and creative ideas that have emerged in discussion over the years.

We make the Reference Guide as widely available within the College community as possible. An electronic version is available on the College website for all faculty to consult. Because some material is mildly sensitive, the Guide can be accessed only through a Notre Dame address.

We offer the Reference Guide in the spirit of openness and shared governance. Our intention is to promote equity and excellence in the College. We welcome suggestions and recommendations from chairpersons and faculty alike.

Thanks are due to all of you who have helped us articulate the ideals and the processes of the College. Thank you as well for your wonderful contributions to our distinctive intellectual community. My very best wishes to you for another rich and stimulating year of teaching, research, and service at the University of Notre Dame.

[Signature]
EXECUTIVE COMMITTEE OF THE COLLEGE AND THEIR DIRECT REPORTS

DEAN
JOHN T. MCGREEVY
I A O’Shaughnessy Dean

As dean of the College of Arts and Letters at the University of Notre Dame, John T. McGreevy is responsible for the overall vision and strategy of the College. He oversees both the academic core and the support structure of the College. In cooperation with faculty members and other administrators, the dean seeks to advance Arts and Letters while integrating the various aspects of Notre Dame’s triadic identity as a residential liberal arts college, a dynamic research university, and a Catholic institution of international standing.

The dean oversees the University’s programs in the Division of the Arts, the Division of the Humanities, and the Division of the Social Sciences; appoints and oversees associate deans and the chairpersons of 20 departments as well as selected directors and support staff; and supports and evaluates the teaching and research of faculty members.

Dean McGreevy’s key responsibilities include: overall vision and strategic planning; tenure and promotion decisions; high-level appointments to faculty positions, including external recruitment to full professorships and endowed chairs; appointment and review of department chairpersons; fundraising and external representation and advocacy; major budgeting responsibilities and priorities; leadership development within the College; departmental reviews and evaluations.

- MATTHEW ZYNIEWSICZ, Dean’s Executive Administrator
- KARIN DALE, Dean’s Administrator

DEAN’S EXECUTIVE ADMINISTRATOR
MATTHEW ZYNIEWSICZ
Dean’s Executive Administrator

As the Dean’s Executive Administrator, Matt coordinates the development, assignment, and execution of special projects at the dean’s direction and serves as the administrative liaison for the College Council, the Executive Committee, and the meetings of deans and
chairpersons. He performs advanced, diversified, and confidential executive support for the Dean, striving to relieve the Dean of as much administrative detail as possible. Matt works with members of the executive team and staff and with others across campus, across the U.S. and abroad to help accomplish multiple tasks, providing research and advice where appropriate to the Dean regarding sensitive issues that arise. He directs the planning and execution of the College of Arts and Letters annual diploma ceremony during commencement weekend.

ASSOCIATE DEANS

PETER HOLLAND
Associate Dean for the Arts

Peter coordinates with all departments in the Division of the Arts on faculty recruitment, offers, leaves, non-regular faculty appointments and salaries, department program reviews, graduate program development and funding, and strategies for faculty and department development. He also serves as point of contact to all Arts and Letters departments for Special Professional Faculty (SPF) hires and renewals. Additionally, Peter will develop and implement strategies for integrating the arts into the life of the College, recruiting student majors in the arts, implementing the Decade of the Arts, and serve as liaison to the DeBartolo Performing Arts Center (DPAC), the Snite Museum of Art, and the School of Architecture.

- CHLOE LEACH, Senior Administrative Assistant

MARGARET MESERVE
Associate Dean for the Humanities and Faculty Affairs

Margaret coordinates with all departments in the Division of the Humanities on faculty recruitment, offers, leaves, non-regular faculty appointments and salaries, department program reviews, graduate program development and funding, and strategies for faculty and department development. Margaret also coordinates the College’s 5+1 Postdoctoral Fellowship program and is leading a strategic review of space for Humanities departments and programs in O’Shaughnessy and Decio Halls. Margaret handles faculty affairs issues including requests for FMLA and maternity leaves; she also chairs the Advisory Committee on Women in Arts and Letters. Margaret serves as liaison to the
Office of the Provost, the Office of General Counsel, and Human Resources.

- KATHY FISCHER, Senior Administrative Assistant

James BROCKMOLE
Associate Dean for the Social Sciences and Research

James coordinates with all departments in the Division of the Social Sciences on faculty recruitment, offers, leaves, non-regular faculty appointments and salaries, department program reviews, graduate program development and funding, and strategies for faculty and department development. Additionally, James provides coordination and serves as the College point-of-contact on research in the College, including the administration of research funding for the College, and coordinates with departments regarding compliance issues, administering and initiating requests for cost-sharing, supervising and reviewing the College grants processes, approving all grant submissions, coordinating with journals, interdisciplinary centers, and programs, and overseeing the Institute for Scholarship in the Liberal Arts (ISLA). James serves as liaison to Notre Dame Research (formerly known as Office of Research), the Graduate School, and the Center for Research Computing (CRC).

- Jennifer Petersen, Senior Administrative Assistant

JOANN DELLA NEVA
Associate Dean for Undergraduate Studies and Director of the Office for Undergraduate Studies

JoAnn is the Director of the Office for Undergraduate Studies and oversees the work of the assistant deans. She monitors all Arts and Letters Undergraduate degree programs, including College-wide undergraduate programs not housed in a department (such as Glynn Family Honors) and those offered in affiliated centers, programs, and institutes; she helps to coordinate and develop inter-collegiate programs and supervises supplemental majors, interdisciplinary minors, and area studies minors. JoAnn chairs the Undergraduate Studies Committee, which reviews student proposals for self-designed majors and faculty proposals for departmental and interdisciplinary minors as well as general undergraduate matters. She works with departments on College-wide requirements and initiatives that include thesis writing, undergraduate research, writing
intensive requirements, honors tracks, and both the University and College Seminars. Her duties also include overseeing the selection of faculty teaching awards in the College, monitoring enrollment issues, handling appeals in Honor Code violation cases, and helping to coordinate and plan the collegiate portion of University events such as First Year Orientation and admissions recruitment visitations. She oversees two faculty funding initiatives: Table Talk and Teaching beyond the Classroom. JoAnn serves as liaison to a number of University units including the Office of the Registrar, the Office of Student Affairs, the Office of International Studies, the Career Center, the Center for Social Concerns, the First Year of Studies, the Kaneb Center for Teaching and Learning, the Office of Undergraduate Admissions and the other Colleges in the University.

- **Brenda Teshka, Senior Administrative Assistant**

**Institute for Scholarship in the Liberal Arts (ISLA)**

**Thomas Merluzzi**

*Director, Institute for Scholarship in the Liberal Arts (ISLA)*

Tom directs the Institute for Scholarship in the Liberal Arts (ISLA), which was founded to build, sustain, and renew a distinguished faculty in the arts, humanities, and the social sciences, to foster graduate and undergraduate research, and to facilitate and enhance the intellectual life of the college and campus. Tom and his staff oversee the provision of grants for faculty research, travel to international conferences, speaker series and conferences, publication subventions, and other research expenses. The staff of ISLA also oversee the funding of the Undergraduate Research Opportunity Program (UROP), which provides small supervised research grants for undergraduates, and graduate student research awards. In addition to internal grant support, Tom and his staff provide information, advice, and assistance in finding and obtaining grant and fellowship funds from public and private agencies to support faculty scholarship. To support faculty and graduate students’ scholarship efforts, ISLA provides seed money for projects that prepare the way for the grant and fellowship applications. ISLA staff offer a variety of other faculty development activities, such as workshops on academic writing and academic press publishing and assistance with conference and lecture series planning and execution. Finally, Tom and his staff maintain lines of communication with Notre Dame Research, the Graduate School, Corporate and Foundation Relations in Development, and other Notre Dame Institutes that support research.
• KEN GARCIA, Associate Director, Grants and Fellowships
• LORI LOFTIS, Assistant Director, Grants and Fellowships
• KARLA CRUISE, Assistant Director, Student Programs
• LAURI ROBERTS, Assistant Director, Academic Conferences
• ELIZABETH KUHN, Academic Conferences Specialist
• CHRISTINA RIES, Administrative Assistant, Academic Conferences
• THERESI BLACKETOR, Administrative Assistant, Student Programs
• PAT BASE, Administrative Assistant, Faculty

• AFFILIATED STAFF
  ▪ MEGAN SHERIDAN, Grants Business Management
  ▪ LORI DOLL, Grants Business Management

FINANCE AND ADMINISTRATION

ROB BECHT
Senior Director, Finance and Administration
Rob oversees the College’s fiscal management and administrative systems. This includes coordinating and submitting the College’s annual unrestricted budget and directing stewardship of the College’s restricted resources. His role facilitates the management and administration of all College offices with department chairs and directors. He is the central administrator for all staff in the College and handles all staff issues above the department or unit level. He supervises the business infrastructure of the College, including Faculty Services and the copy centers (DCL Services) and the College supervision of the Arts and Letters Computing Office (ALCO). He also provides oversight and direction for the College’s academic space planning and management.
  ▪ MO MARNocha, Assistant Director, Personnel and Operations Specialist
  ▪ MATTHEW FULCHER, Assistant Director, Facilities & Academic Space
  ▪ T.D. BALL, Staff Accountant
  ▪ TINA CLARK, DCL Supervisor
  ▪ DAVE MASTIC, ALCO IT Coordinator

COMMUNICATIONS
KATE GARRY  
*Director of Communications and Marketing*

The communications director is responsible for developing and executing the College’s strategic communications plan. This position leads key internal and external communications and marketing initiatives for the College and represents Arts and Letters across campus, coordinating on strategies and messaging that serve wider University goals and communications initiatives. The Office of Communications also assists departments, centers, institutes, and special programs in the College with top-priority communications projects.

- **JOSH WEINHOLD**, Assistant Director
- **CHANTELLE SNYDER**, Graphic Designer
- **STEVE KOICH**, Web Strategist
- **CARRIE GATES**, Communication Specialist
- **TODD BORUFF**, Videographer
- **KIM MURRAY**, Staff Assistant

**DEVELOPMENT**

MARIA DI PASQUALE  
*Director of Academic Advancement*

This position serves as the liaison between the Dean, the faculty, and the development office, working to generate support for the academic priorities of the College.

**OFFICE FOR UNDERGRADUATE STUDIES**

**ASSOCIATE DEAN**

JOANN DELLA NEVA  
*Associate Dean for the Office of Undergraduate Studies*

JoAnn is the Associate Dean for the Office for Undergraduate Studies. She is also a member of the Executive Committee; for her duties on this committee, please see above under *Executive Committee on the College and their Direct Reports*.

- **BRENDA TESHKA**, Senior Administrative Assistant

**ASSISTANT DEANS**
All assistant deans advise undergraduate students in matters which include study abroad, overloads, dropping and adding classes, leaves, dismissals and other general policy matters, as well as scholarship and fellowship possibilities, funding for research and internships, and individual academic interests and trajectories. The assistant deans serve on the College Admissions committee for readmitted students and the College Council.

JOSEPH STANFIEL
Assistant Dean and Director of Advising

Joseph Stanfiel is the Director of Advising in the Office for Undergraduate Studies and supervises the assistant deans. He advises students in the R-Z alphabetical cohort. Additionally, he oversees the implementation of various intellectual enrichment initiatives, including the Dean’s Fellows and its annual public debate. He also produces Vantage Point, an academic, political, and cultural discussion program broadcast on NPR. He interviews Oxford Study Abroad candidates and is a member of the Arts and Letters Summer Internship Selection Committee.

COLLIN MEISSNER
Assistant Dean

Collin Meissner advises students in the A-E last-name cohort. In addition to general Arts and Letters advising, Dean Meissner is responsible for communicating college policies in various formats, including the Guide to Undergraduate Teaching.

AVA PREACHER
Assistant Dean

Ava Preacher advises undergraduate students in the L-Q last-name cohort at the sophomore, junior, and senior levels. She is the pre-law advisor for students in the Arts & Letters, Architecture, Engineering and Science colleges. She serves on the University Committee on Women Faculty and Students, and the Committee on Sexual Assault Prevention. She is also the faculty advisor for the Mock Trial Team and the Pre-Law Society.

NICHOLAS V. RUSSO
Assistant Dean
Nick Russo joined the Office for Undergraduate Studies in 2011. He advises sophomores, juniors and seniors in the F-K last-name cohort. In addition to general Arts and Letters advising, Dean Russo also serves as contact for Notre Dame students enrolled or interested in the Saint Mary’s College Education Certification Program. His other responsibilities include various initiatives such as the e-Portfolio advising project. Beyond academic advising, he holds a concurrent appointment in the Department of Theology where he teaches introductory undergraduate courses and graduate summer courses in liturgical history.

VICKI TOUMAYAN  
Assistant Dean  

Vicki Toumayan advises all students in the APH2 (Arts and Letters Pre-health Professions) supplementary major and the Neuroscience and Behavior major. She has a particular interest in international study, is the point person in the Office for NDI-related issues and oversees the non-Notre Dame study abroad leaves of absence. She also serves on the Deans and Registrar Advisory Committee and the Campus-Wide Internships Programming Committee.

STAFF FOR THE ASSISTANT DEANS  
• JOLENE BILINSKI, Administrative Assistant  
• LISA SUHANOSKY, Administrative Assistant  
• DARLA KARAF, Staff Assistant

-----------------------------------------------

NOTE:  
Detailed Dean Descriptions are found at al.nd.edu

Deans’ Organization Charts are found at al.nd.edu
TIMETABLE FOR IMPORTANT REQUESTS AND DEADLINES

The most up-to-date Administrative Calendar may be found under Resources for Faculty and Staff on the Arts and Letters website.

Note: Events from the Office of the Registrar (including summer session) and orientation schedules for Human Resources will not be posted on this timetable. For their latest schedules, please refer to the following websites: http://registrar.nd.edu and http://hr.nd.edu/nd-faculty-staff/toolkits/faculty-human-resource-orientation/

PART ONE: FACULTY

1.1 Hiring Procedures for Regular Faculty

1.1.1. Faculty Lines

Faculty lines are housed in the College and not in individual departments. This enables the Dean to distribute resources appropriately as the College develops.

There are some exceptions to this policy. These include: endowed chairs that are legally tied to a specific department, lines that are not filled in a given year because the department was unable to find an outstanding candidate in a search, and lines vacated by assistant professors who have been denied renewal or tenure.

The decision to release a line for a search is made by the Dean on a case by case basis. The department will be notified in the summer of the authorized searches for the next academic year.

1.1.2. Ads

All advertisements should be reviewed at the College level before being released. Please forward draft announcements to the associate dean for your division for approval. The following paragraph must be included in all advertisements:

The University of Notre Dame seeks to attract, develop, and retain the highest quality faculty, staff and administration. The University is an Equal Opportunity Employer, and is committed to building a culturally diverse workplace. We strongly encourage applications from female and minority candidates and those candidates attracted to a university with a Catholic identity. Moreover, Notre Dame prohibits discrimination against veterans or disabled qualified individuals, and requires affirmative action by covered contractors to employ and advance
veterans and qualified individuals with disabilities in compliance with 41 CFR 60-741.5(a) and 41 CFR 60-300.5(a).

It is important to advertise widely in both general and disciplinary publications. Your approved ad should be posted on your department’s webpage by your administrative assistant. In addition to posting the ad on your department’s webpage, a copy of the final approved ad should be sent to the divisional associate dean. A copy of the ad should also be sent (as a word document) to Sue Kobek (Kobek.2@nd.edu) in the Office for Recruitment Support to be posted on the University’s website.

1.1.3. Funding for Open Searches

The College will allocate $4,500 per authorized open search to departments to defray the cost of recruitment. In the case of a targeted search that requires courting a specific candidate outside of an authorized search, the department should keep a record of expenses. The College will reimburse the department for these expenses after an itemized report is submitted. If a department wants to court someone before they have an authorized search, the department must receive authorization from the associate dean for your division in advance. If you have questions, please contact the Associate Dean for Faculty Affairs or the Senior Director, Finance and Administration.

1.1.4. Search Committees

Faculty hires are one of the most important and sensitive tasks that departments undertake. It is critical to think through and plan each hire carefully, beginning with the search committee. Experience indicates that an ideal arrangement arises when the chairperson consults the faculty concerning membership on a search committee, then appoints a search committee with appropriate representation of specialists and non-specialists. Search committees may include assistant professors and graduate students and, depending on departmental CAP documents, need not be identical with your Committee on Appointments and Promotions (CAP).

The College does not have a normative set of guidelines for search committees,
but requires departments to follow procedures consistent with their CAP documents and College practices. Normally, the search committee will make recommendations for a preliminary round of interviews at a major conference, interview candidates, and determine the finalists who will be invited to campus. The search committee report should be forwarded to the divisional Associate Dean who will approve the list of finalists to be invited to campus. In some cases, especially with senior searches, it may be advantageous to have faculty members from other departments as members of the search committee. In some departments, the search committee may continue to function until a final recommendation is made by the CAP and the chairperson of the department to the Dean. In such instances, the vote of the search committee is taken into account by the CAP and chairperson.

1.1.5. Notification to Applicants

Every application for a position should be acknowledged. Chairpersons or chairs of searches may acknowledge applications with a form letter or a postcard. It is a good idea to include some promotional material in the mailing, e.g., a departmental newsletter or brochure, website information, etc. At the end of the search process, every applicant should be notified.

1.1.6. Conducting a Search

In the past, searches were conducted by posting positions and then sifting candidates. It is no longer feasible to conduct searches in such a passive way. We must be proactive and aggressive in our searches. This will require us to look for potential candidates and not depend on them to come to us. This is true for junior as well as senior searches. The policy of searching, rather than sifting, represents the single greatest change in the nature of how we should conduct searches.

There are a number of ways to identify the best possible candidates and interest them in applying. Here are some suggestions, especially for junior searches:

- Develop an advertisement that is as broad as possible. Overly narrow searches tend not to yield the strongest pools.
• It is a good idea to track exceptional Notre Dame undergraduates who go on to graduate school. They often identify with Notre Dame and may be anxious to return.
• Departments that are now competing for graduate students with the best universities in the country are encouraged to keep very good records of graduate students who were admitted to Notre Dame but who decided to enroll elsewhere. Some of these students may be attracted to Notre Dame as faculty members for the same reasons that they considered Notre Dame for graduate school.
• When faculty attend conferences, they should make it a point to look for and meet talented graduate students. Develop a network to help identify who are the very best students in the field.
• Write to the Directors of Graduate Studies of the leading programs in the respective field and ask them to nominate their very best students. A follow-up letter to the graduate students letting them know that they have been nominated and inviting them to apply may attract some applicants that would not otherwise apply.
• Write to senior scholars in the field and ask them to identify the best doctoral students or junior faculty whom they know. In the letter, identify the strengths of the University of Notre Dame and your department.

1.1.7. Hiring for Diversity

Notre Dame is strongly committed to enhancing diversity through hiring and mentoring women and scholars from underrepresented groups. Although the College’s efforts in recent years have been reasonably good, Notre Dame is behind the national norm in terms of the number of women and minority faculty, especially at advanced ranks. As we seek to become an institution that can compete with the best secular institutions, we must be a truly diverse campus, and we need to do better. Ethnic diversity is an area with which Notre Dame students have been less than content. Faculty hiring decisions play as great a role here as do admissions decisions for students. While affirmative action considerations play no role in tenure and promotion decisions, institutional commitments to increase the number of highly qualified women and faculty of
color should be central in hiring decisions.

The most basic strategies for diversity are as follows:

1. Make sure that you have representation from under-represented groups in your applicant pool.
2. Weigh potential contributions to diversity as part of the complex equation that results in a final ranking.

When a department chairperson appoints a search committee, he or she should see to it that the committee has at least one person whose partial task is to attend to affirmative action and mission issues. This does not free others from thinking about these issues, but it does guarantee that at least one member of the search committee is especially attentive to hiring for diversity and mission. Please note the identity of this individual or individuals in the minutes of your CAP meeting. The Dean’s Office holds departments to a high standard of accountability for diversity and mission hiring in approving final candidates for campus visits. Departments should have affirmative action policies, outlining strategies and goals for diversifying the faculty, whether as part of their CAP guidelines or as independent documents.

1.1.8. Building a Diverse Pool

Additional steps that may help departments expand the pool of applicants to include women and candidates from under-represented groups include:

- The Office of Institutional Equity is available to help departments expand the applicant pool. The office is pro-active and will help in any way that it can. The services include, for example, expanding recruitment pools, coordinating meetings with minority groups on campus so that a candidate will gain some awareness of the extent of diversity on campus and discussing recruitment strategies. It is important to contact the Office before beginning a search. All search committees should request a recent version of the Faculty Search Committee Toolkit prepared by the OIE.

- Advertise in places that may be of special interest to minority candidates, e.g., *The Hispanic Outlook in Higher Education*. They may be reached at outlook@sprintmail.com or (201) 587-8800 ext. 102 or 106 or by fax at (201)
Search committees should explore minority locator services to identify potential candidates. *The Minority and Women Doctoral Directory* is available in the Office of Institutional Equity. Many professional organizations also have minority locator services.

Some of the most aggressive chairpersons make it a point to attend conferences and sessions within conferences to meet potential minority candidates. The College will fund visits to conferences by chairpersons or their designated representative for the purpose of identifying stellar minority candidates. If you would like assistance in locating potential candidates, please contact the Office of Institutional Equity.

### 1.1.9. Hiring for Mission

“For Notre Dame to maintain its commitment to being a Catholic university and not simply a Catholic institution in a broader sense, the educational life of the university must be richly and diversely Catholic” (President Jenkins).

Hiring for mission is one of our greatest challenges. We must seek to fulfill two goals, which will occasionally, but not always, overlap: ensuring a critical mass of Catholic faculty, so that our students encounter models of lived Catholicism, and ensuring a critical mass of scholars who devote their scholarship, regardless of their religious convictions, to the preservation and renewal of the Catholic inheritance. Notre Dame is the only university with the resources to preserve and renew the Catholic intellectual and cultural tradition in its fullness. In hiring, we want to combine an eye for excellence with an eye toward both reinforcing our current identity and letting it be enriched by new and diverse perspectives.

**Rev. Robert Sullivan**, Associate Vice President for Academic Mission Support, oversees university efforts at recruiting for mission. Bob will assist departments in identifying Catholics and scholars of the Catholic intellectual tradition at the leading universities and colleges in the country and in the leading departments in each of our disciplines. In some cases, we are uncovering faculty members who may or may not be Catholic but who would, because of their scholarly focus,
enhance our mission. With Bob’s assistance, we aim to recruit outstanding Catholic scholars into departments across the entire College as well as scholars who, independently of religious conviction, will enhance our broader mission.

Making mission-oriented materials (e.g. the University’s mission statement) available to prospective candidates and faculty in advance of interviews can help encourage open conversation regarding mission. Some interview questions that might be helping in gauging a potential candidate’s potential contribution to the university’s Catholic mission include:

- “How might being at a Catholic university animate your teaching and research?”
- “Notre Dame is at one and the same time a residential liberal arts college, a dynamic research university, and a Catholic institution of international standing. We have discussed your teaching and research.
- “What contribution might you be able to make to the Catholic mission of the University, broadly defined?”
- “What attracts you about Notre Dame’s distinctive identity?”
- “In what way would you view being at a Catholic university as an asset?”

“The experience of teaching at Notre Dame is different than the experience of teaching at a state institution or even many private institutions. One of the defining characteristics is the open tie with Catholicism. Have you thought about how you would relate to students who have been socialized within Roman Catholicism?”
1.1.10. Presence Provision

In the fall of 1998, the Board of Trustees adopted a resolution specifying that the concept of affirmative action should not be used with reference to the hiring of members of the Congregation of Holy Cross. Consideration of qualified Holy Cross is required by the statutes of the University. Appointment of qualified members of the Congregation of Holy Cross to positions at the University should be considered as action consistent with—and in furtherance of—Notre Dame’s mission and identity as a Catholic university, one that has a unique and continuing relationship to the Indiana Province of the Congregation of Holy Cross. The “presence provision” refers to the important presence of the Holy Cross in fostering Notre Dame’s distinctive mission.

Funding for C.S.C. faculty members comes from a centralized budget in the University rather than from the College budget. Thus, if a department wants to hire a C.S.C. priest, it will not cost them a line that they might otherwise have to use. Moreover, when the priest retires, the line becomes a permanent addition to the number of lines in the College. If a priest leaves the faculty post before receiving tenure, the funding does not enter the College.

1.1.11. Target-of-Opportunity Hires

Sometimes a candidate emerges who merits special consideration under our “target of opportunity” initiative. Criteria for target-of-opportunity hires include:

- extraordinary quality;
- diversity;
- potential contribution to the Catholic character of Notre Dame.

If a department identifies a candidate who meets one or more of the three criteria above, ideally more than one, the department may have a good case for a target-of-opportunity hire. Barring budget constraints, we will consider covering the salary of a new faculty member with bridge funding or cash until the department has a departure or retirement. In this way, target-of-opportunity hires need not compete with other new initiatives. If a department has identified a target-of-opportunity hire but anticipates no retirements or departures in the coming years, options should be explored with the Dean. Pre-hires depend on the availability of
resources and on the quality of the proposed pre-hire in relation to other pre-hires we are considering elsewhere in the College. The bar for a pre-hire is exceptionally high; the candidates must be outstanding in every way.

Departments may request special funding in order to bring a potential candidate to campus. A description of the candidate’s qualifications and an explanation of why the candidate might be a good fit for Notre Dame, including considerations as to how we could attract the candidate to Notre Dame, should be sent to your divisional associate dean. A sum not exceeding $1,000 will be contributed toward the cost of such visits. Departments will be expected to share costs and cover any expenses beyond the allotted amount.

1.1.12. Spousal Hires

Spousal hire issues are handled on a case-by-case basis. We make a serious effort to provide adjunct teaching for spouses of junior faculty (typically for a specified number of years), and for those at a higher rank we have sometimes managed to create regular positions. There are, however, no guarantees even for full or endowed professors. Add-on positions have become increasingly difficult, partly because of budgetary restrictions and competing demands and partly because of systematic restrictions on the addition of new lines.

In Spring 2007, a new position within the University was created to help with spousal hiring for new faculty, for those whose spouses are seeking employment either at Notre Dame or in the community. This position, **Manager of Spousal Support and Placement**, is jointly placed in the Office of the Provost and Office of Human Resources. Sara Ermeti is the Manager and she will oversee the Dual Career Assistance Program. A brochure outlining this program is available from the Provost’s Office. Sara Ermeti will be available to provide pre-offer spousal consultation services during the interview process; and job search assistance, resume, CV, and cover letter critique, etc., after the candidate has accepted the offer. Referrals can be made by a chairperson, a member of the Dean’s Office, or a member of the Provost’s Office. Sara’s contact information is: 631-1858 or Sara.J.Ermeti.4@nd.edu.
Search committees, CAPs, and chairpersons are not permitted to ask a candidate about his or her marital status. However, if the candidate raises a concern about employment for a spouse, it is important to communicate that concern to the Dean’s Office as early in the process as possible.

1.1.13. The Campus Visit

All campus visits must be pre-approved by the Associate Dean for your division. The department chair should send a memo to the divisional Associate Dean containing the following: a brief description of the position, the time-frame for the proposed visits, a description of the process used to develop the applicant pool, a detailed description of the pool, a paragraph on each of the proposed finalists, a paragraph providing an assessment on the success or failure to identify viable candidates to promote diversity and mission, and any other relevant information. If the final list of three candidates does not include a woman, a member of an under-represented group, or a Catholic, a detailed statement explaining why the list of finalists does not include a member of one of these groups must be included. The College reserves the right to cancel a search before campus interviews if the pool is unjustifiably narrow.

Departments are responsible for arranging the campus interviews. It is imperative to provide each interviewing office with a copy of the candidate’s CV and full campus schedule several days in advance of the interviews. The letter authorizing the search will indicate which dean will interview candidates for specific positions. At a later date, the Dean’s Office will inform you which provost will handle your senior search(es). The Associate Dean for Humanities and Faculty Affairs will interview all junior candidates within the Division of the Humanities. The Associate Dean for the Social Sciences and Research will interview all junior candidates for a position in the Division of Social Sciences. The Associate Dean for the Arts will interview all junior candidates for positions in the Division of the Arts. If the candidate is to be considered for a tenured appointment, please schedule an interview with the Dean, even if the candidate is also interviewing with an Associate Dean. If the candidate is a woman, it is also important to
ensure that the candidate meets other women during her visit. Some candidates in the past have remarked that all of their interviews involved only male administrators, giving them the false impression that women do not hold positions in upper administration at Notre Dame. Please also make sure to avoid bringing in candidates for on-campus interviews during the days in which PAC meetings are in session and many faculty and administrators are not available February 16 and 17 and March 22. The following represents a default schedule.

Associate or Full Professor Level:
- Schedule 45 minutes with the Dean. You can schedule appointments through the Dean’s Assistant.
- Schedule 30 minutes with the Director of ISLA.
- It is advisable to schedule a brief interview with the Vice President for Research or the Dean of Graduate Studies when you have a senior candidate who will have special research needs or who will work with graduate students. This is mandatory if you anticipate that the hiring of a senior scholar may require additional support from Notre Dame Research or the Graduate School. It is imperative that we arrange funding for graduate students in advance.

Assistant Professor Candidates:
- Schedule 30 minutes with the associate dean for your division. If he or she is unavailable, please schedule the meeting with one of the other associate deans.
- Schedule 30 minutes with the Director of ISLA.

Visiting Positions and Professional Specialists:
- For visiting positions at the junior level and for professional specialists, please schedule 30 minutes with the appropriate associate dean. This is the only College administrator who needs to meet with candidates for these positions. If the appropriate associate dean is unavailable, please schedule the candidate with another associate dean.
Because meetings may not take the entire time, you should ensure that your candidates can find their next appointment.

When candidates are brought to campus, the College recommends not only that you provide opportunities for the candidate to interact with students and faculty in the department, but that you include visits with strong scholars from beyond your own department.

All candidates should be reviewed with regard to their teaching potential. Submission of student reports on teaching should be routine at the finalist stage. During campus visits candidates should meet with graduate and undergraduate students. They should also be asked to take over a class session in disciplines where this is practical and advisable. Where this is not the case, the question-and-answer period after a talk should be viewed as a partial window onto teaching ability. Chairpersons and CAP committees should make clear in the packet their understanding of the candidate’s teaching potential.

1.1.14. The Decision to Hire

Notre Dame should be making only internationally competitive hires. The College will benefit in every respect if we hire excellent teacher-scholars who can contribute to the life of the University and its higher mission, candidates who are interested not only in their own personal development but in contributing to the greater whole. Therefore, we should evaluate candidates with four criteria in mind: teaching, research, citizenship, and potential contribution to the distinctive mission of Notre Dame:

First, the candidate should be an excellent teacher who is attentive to the value of a liberal arts education and able to communicate to a broader audience.

Second, the ideal candidate must be an excellent scholar who exhibits great promise and a broad range of interests. At the assistant professor level, we are more interested in the quality of the person’s mind than in the quantity of
publications to date, although the promise of a certain quantity should be present. At a more senior level, it is imperative that the individual have an excellent publication record and enjoy a superior reputation in her or his discipline.

Third, the candidate ought to demonstrate the potential to be an excellent academic citizen.

Fourth, the candidate should be willing to support, in his or her own way, the unique mission of Notre Dame. We are seeking Catholics and persons of other faiths and of no faith who can contribute to Notre Dame’s broader mission of intellectual, moral and spiritual development. At the same time, we should look for candidates who could make substantial contributions to areas in which Notre Dame, primarily through its Catholic identity, has developed or should be developing strengths; for example, in medieval studies, literature and religion, sacred music, the ethical aspects of the various disciplines and professions, or the study of the family.

1.1.15. Recruitment

Hiring is a two-way street: candidates need to sell themselves to us, and we need to sell ourselves to them. Search committees, CAP committees, chairpersons, and faculty in general are wise to keep in mind that since we are interested in hiring only the very best candidates, most of the candidates to whom we make offers will also have offers from other institutions. There are at least two areas that call for some reflection on the part of faculty who are involved in recruitment:

**Identity:** In persuading candidates of Notre Dame’s strengths, our distinctive nature can be an asset. Many of our students, faculty, administrators, and donors have chosen Notre Dame precisely because we are an international institution with a clear, focused, and admirable mission and a strong sense of community. Prospective faculty, whether or not they are religious believers, are often drawn to the fact that many of our disciplines study social justice issues, and our students
are unusually committed to community service and the welfare of others. Many of our students take a great interest in the spiritual implications of their studies. The University’s emphasis on the humanities is another potential selling-point, an emphasis that promotes the discussion and debate of some topics that are sometimes ignored on other campuses. At Notre Dame, the unity of knowledge across disciplines is valued and we seek to give our students an integrative experience that includes aspects of all of human knowledge and experience.

*Geography:* Obviously, we are not located in a large urban area and are at a competitive disadvantage when measured against large metropolitan areas. It may help to accentuate the advantages of living in the Michiana area, e.g., lower cost of living. The Datamasters Cost of Living Index measures differences between areas in the cost of consumer goods and services for professional households in the top income brackets.

Informative Websites to visit to compare cost of living include:

1. [www.homefair.com](http://www.homefair.com)
2. [www.monstermoving.com](http://www.monstermoving.com)
3. [www.bestplaces.com](http://www.bestplaces.com)

A website identifying the strengths of the local community may be found at [http://regionalcitiesofnorthernindiana.org/assets/stateofregion.pdf](http://regionalcitiesofnorthernindiana.org/assets/stateofregion.pdf)

**1.1.16. Negotiating with the Candidate**

The University recently implemented Interfolio -- a new web-based search and hiring software tool. All departments will manage searches using this University approved tool. Exceptions for use of another search tool must be approved by the respective divisional dean.
What is Interfolio?

Interfolio’s ByCommittee is a web-based software tool that supports posting of open faculty positions, online collection of applications and department committee review procedures, as well as the post-department workflow for approval of new appointments.

- Prospective faculty members apply for positions online and upload critical pieces of the application. This eliminates the need for staff to scan paper documents or upload emailed application materials to University servers.

- Search committee members have online access to applications and the option to rate applicants within the system.

- Reference letters can be quickly uploaded via a system that is readily used by many faculty at other institutions.

- Supports new federally mandated disclosure requirements regarding Veteran Status and Disability Status

When the chairperson and CAP have settled on a candidate, the chairperson should discuss the recommendation with either the Dean or the appropriate Associate Dean. The chairperson and the designated dean will work out the terms of the offer. It is important to note that all offers must be approved by the Provost and the approved offer letters are sent under the Dean’s signature. If you are sending a letter or e-mail to the prospective hire including the terms, the following language must be included:

*Assuming our recommendation is approved by the President and Provost of the University, you will receive an offer letter from the Dean of the College offering you this position with a beginning salary of $XXXX, and any other items, i.e., research and professional development fund, teaching schedule, moving, etc.*

All offers to faculty at other institutions must be made prior to May 1 according to recommended national guidelines. Any offer extended after that date requires the negotiation of a release by the dean of the college where the candidate is employed. The appropriate associate dean handles such negotiations.
The hiring process, as well as the search process, is done through Interfolio. A checklist that lists the necessary documents needed for processing a hire can be found on the Provost’s website https://provost.nd.edu/administrative-resources/interfolio/. Select Search Support Materials and then download Required Documents for Appointment Packets.

The following includes specific information that needs to be addressed in the documents* that are included in the hire packet:

*Cover letter* from chair to Dean (if senior hire) or Associate Dean for the respective division (all junior hires) (not applicable for non-regular hires)

This letter will address:

- the candidate’s credentials as a teacher;
- her or his credentials as a researcher;
- her or his promise as an academic citizen; and
- her or his potential contribution to the unique mission of Notre Dame, broadly understood.

- funding source

*CAP minutes* The minutes of the CAP should include the membership of the committee, an accurate and thorough record of the discussion, and a record of any vote. They should be signed and dated by all members of the committee. The minutes should not include references to any other cases pending before the department.

**Pay Schedules**

It is important to remember that there is a **difference between the contract period (9 months tenure track and tenured faculty)** and the **pay schedule**. All new regular hires will have a twelve-month pay schedule that runs July through June. This means that faculty will receive their first paycheck prior to the beginning date of their contract. This is **not true for non-regular faculty** who are on a different pay schedule and are paid over either 5 months (Aug.-Dec or Jan.-May) if a semester hire only or 10 months if an academic year hire (Aug.-May).
Language to be used in offer letters:

Moving Language

The following language is used for all regular appointments:

*The University will pay all reasonable moving expenses as defined by IRS regulations (see IRS Publication 521 found on [www.irs.gov](http://www.irs.gov) for related information). For your convenience, you may arrange to have one of the preferred moving vendors directly bill the University for payment. Otherwise, all reasonable moving expenses will be reimbursed upon submission of receipts and filing of an expense report. The University has four preferred moving vendors. They are: Wiltfong Moving & Storage, Inc., Graeble American Movers, Inc., Crown Moving & Storage and Michiana North American. The use of one of our preferred vendors is optional but offered as a convenience to you. If you have any questions, please contact Rob Becht, Senior Director, Finance and Administration ([Becht.1@nd.edu](mailto:Becht.1@nd.edu)) or T.D. Ball, Staff Account ([ball.24@nd.edu](mailto:ball.24@nd.edu)). They will be happy to address any questions associated with your move.*

As a point of clarification, pre-move house hunting trips and associated costs are not considered reasonable moving expenses. See IRS Publication 521 Moving Expenses for additional details.

Notre Dame’s preferred vendors are:

| Wiltfong Moving & Storage, Inc. | Crown Moving & Storage |
| United Van Lines | Wheaton Van Lines |
| 2612 N. Home St. | 8040 Castleton Rd. |
| Mishawaka, IN 46545 | Indianapolis, IN 46250 |
| Contact: Jerry Pelletier | Contact: Phil Beanblossom |
| Phone: 574-259-8554 | US Toll-Free: 800-248-7960 |

| Graebel American Movers, Inc. | Michiana North American |
| 1011 Asbury Drive | North American Van Lines |
| Buffalo Grove, IL 60089 | 903 S. Main St. |
| Contact: Tara Word | South Bend, IN 46601 |
| Phone: 800-373-6401, ext. 3291 | Contact: Ed Sikora |
| | Phone: 574-288-1229 |

Teaching Language

You will have a X:X teaching schedule. All teaching schedules are at the discretion of the Dean of the College.
Research and professional development fund language for REGULAR hires

You will receive a research and professional development fund in the amount of $XXXXX. These funds are reviewed annually and additional funds are added according to the availability of funds and evaluation of your scholarship and/or professional activity. Please note: all expenditures made from a faculty research and professional development account must comply with all applicable University policies and procedures. All items/assets purchased or reimbursed with the account remain the property of the University.

For additional information on the University’s moving expenses, policies, and procedures, please refer to the following link:
http://controller.nd.edu/assets/91216/moving_relocation_expenses.pdf

1.1.17. Visa Expenses
There are costs associated with hiring faculty from abroad. Deborah Gabaree, Assistant General Counsel, provides faculty with legal assistance in the procurement of H-1B Visas and J-1 Visas. The following link provides procedural information as well as FAQ’s to help you navigate the process for international visitors: http://generalcounsel.nd.edu/team-practices/immigration/

1.1.18. Incoming Faculty Database
As soon as an offer is made to an incoming faculty member, the departmental administrative assistant should enter status information into the FileMaker Pro database.

When a signed contract has been received, the Dean sends a letter of welcome to the newly hired faculty. It explains how to establish contact in Human Resources, set up a NetID, request a computer, order textbooks, and find help with a visa. It also provides information about their office and requests a brief faculty bio.

1.1.19. Computer Needs
All computer hardware, software and peripherals must be purchased through the Arts and Letters Computing Office using approved University suppliers. All computer software (paid, shareware and freeware) must have an approved software
license review by Notre Dame General Counsel prior to purchase and installation.
The Arts and Letters Computing Office will work with faculty and staff who need to
submit applications for software license review.

New full time regular tenure track, SPF and research faculty members noted as
having received a welcome letter are contacted by email and asked to select from
recommended computer models. Information on the computers is provided via a
web based selection form. Computer orders must be placed by May 31 in order for
computers to be ready for installation when offices are available for occupancy at the
end of July. We work with late hires on a case by case basis to provide computers as
quickly as possible based on their selections. Funding toward the computer purchase
is provided by the Campus Workstation Program (CWP). Costs which exceed the
CWP allocation are paid by the faculty member's research and professional
development account.

Visiting faculty members are offered the use of used desktop computers on a first
come first served basis. Adjunct faculty members do not receive College provided
computers

1.1.20. Office Space and Campus Arrival
Departments must enter all new faculty information into the database in order to
insure office space for their incoming faculty. The Administrative Calendar lists the
dates for entering this information.


1.1.21. Welcoming New Faculty Members
One of the most important functions that chairpersons, and indeed all established
faculty, have in the early fall is welcoming new faculty into your department.
There are a number of ways that department chairpersons and faculty can help:

- Post photos of all new faculty (and perhaps all new graduate students) in
  the lounge or mail area. This is especially important in large departments.
- Set up specific social occasions for new faculty to meet colleagues
informally.

- Take new faculty members to lunch.
- Facilitate a lunch or two with other faculty from within and outside of the department who might serve as mentors or as important colleagues.
- Compile, together with your administrative assistant, a departmental orientation booklet for all new faculty that orients them to the procedures and policies of the department.
- Provide opportunities through course assignments to build a clientele among the majors or graduate students.

1.1.22. Departmental Orientation

There should be a formal orientation to the department for all new faculty. A department orientation should include:

1. Introduction to the undergraduate and graduate curricula, with sample syllabi for selected courses; introduction to CIF process;
2. A description of the various duties of the office staff and other resource persons;
3. Introductions to colleagues in other departments who have related research interests;
4. An open discussion about short-term and long-term research goals as well as tenure expectations and the tenure process for junior faculty;
5. Assistance in facilitating access to non-academic resources, such as child care, medical care, or housing;
6. Information concerning research funding.

1.1.23. Welcoming Reception

The Dean’s Office hosts a fall reception for all faculty following the first faculty meeting where new faculty are introduced. Bios for all new regular faculty, visitors, and post-doctoral fellows are also posted on the College website.


The Office for Undergraduate Studies provides a valuable orientation session for teaching in the College. New faculty are encouraged to consult the Guide to Undergraduate Teaching. [http://al.nd.edu/assets/172268/2015_2016_guide.pdf](http://al.nd.edu/assets/172268/2015_2016_guide.pdf).
1.1.25. January Orientation

The College will host a brief orientation session in January for faculty who begin in mid-year. Details will be announced at the beginning of the academic year.

1.1.26. Instructor Appointments

An Instructor is an ABD on a tenure-track line. The appointment is for one year, with the assumption that the candidate will complete the dissertation during the year. It is possible to retain someone for a second year, but they are ineligible for a salary increase. If the instructor receives his or her Ph.D. during the summer after the first year, the appointment should be changed to an assistant professor rank and an appropriate adjustment in the salary should be made. If the instructor completes the doctorate before the end of the second year, the rank and salary should be adjusted at the beginning of the third year. In this case, the salary will be calculated as if he or she had received a standard pay raise for the second year. If the instructor has not completed his or her doctorate by the end of the second year, the department will undertake an open search to fill that faculty line. The instructor is eligible to apply.

1.2 Hiring Procedures Non-Regular Faculty and Miscellaneous Appointment Matters

1.2.1 Adjunct Appointments

Adjunct faculty play a necessary and important role in the work of the College. Under current policy, an adjunct may only teach two courses in a semester. Exceptions to this policy require approval in both the Dean’s Office and the Provost’s Office. Please contact the appropriate divisional Associate Dean if you have any questions. All adjunct appointments are subject to enrollments. If a class is cancelled as a result of low enrollment, the contract for that course becomes null and void. The College has a fixed pay scale for adjunct faculty. Any exceptions must be approved by the appropriate divisional Associate Dean.

Departments should have an updated curriculum vitae (CV) on file for each adjunct, in order to periodically review their teaching, and make quality decisions.
concerning such appointments and reappointments. Updated CVs, should be uploaded into the document library in the FileMaker Pro database.

1.2.2 Visiting Faculty
Visiting appointments apply to all ranks, and are normally reserved for faculty coming on a short-term basis from other institutions or recent PhD graduates under consideration for a tenure-track appointment. Visitors are appointed for one year and can be reappointed for a second year. In rare circumstances, a third year may be approved; however, this requires the consent of both the Dean’s Office and the Provost’s Office. If you have any questions, please contact the appropriate divisional Associate Dean.

1.2.3 Visiting Scholars
The College has a generous policy in the appointment of visiting scholars. We welcome the presence of scholars from other institutions who come either to work with a specific member of our faculty or to conduct their own research. Visiting scholars typically do not receive any compensation from Notre Dame. We cannot guarantee space or computer resources for them. The appointment cannot exceed one year. It may be renewed, but the term is limited to a year.

1.2.4 International Visitors
Individuals who are visiting the University as professors or research scholars from outside of the United States should be issued Form DS-2019 by the Office of the General Counsel at Notre Dame, which will allow them to participate in the J-1 exchange program. Prior to entering the United States, the visitor must present Form DS-2019 to a U.S. Embassy/Consulate abroad along with a visa application and other required documentation to obtain a J-1 visa. This will allow for entry to the United State to participate in the J-1 exchange program at Notre Dame as a professor or research scholar.

If visitors have questions about extending their stay in the United States, traveling outside of the US, or the rules and responsibilities for maintaining lawful
immigration status, they should contact the Office of General Counsel at 631-6411.

Debbie Gabaree, General Counsel, determines the type of visa necessary through the use of the Immigration Request Form. If a J1, the contact in the International Student and Scholar Affairs Office is Rosemary Max @ jscholar@nd.edu. All other visa types go through General Counsel, Debbie Gabaree.

A helpful source for international visitors is the *Handbook for International Students and Scholars at the University of Notre Dame*. Copies of this handbook can be obtained from either the Dean’s Office or from the International Student Services and Activities Office in 204 LaFortune Student Center.

**1.2.5 Concurrent Appointments**

A concurrent appointment permits a member of the faculty or staff who is housed in one unit to participate in a second unit. The specific privileges and responsibilities (e.g. teaching or serving on doctoral committees) should be specified by the unit that recommends the concurrent appointment. A concurrent appointment does not give the concurrent appointee voting rights in the department unless this is specified in the appointment.

Concurrent appointments are valid only if they are approved by the Provost’s Office.

Concurrent appointments extend indefinitely unless there is a contractual arrangement stating otherwise or the Dean’s office is notified by the department or the faculty member that the concurrent appointment will not be extended.

Concurrent appointments retain the rank of the primary appointment. An assistant professor in department x should be appointed as concurrent assistant professor in department y. Similarly, a special professional faculty member should have the same status in a second unit where he or she has a concurrent appointment. Thus, an associate special professional faculty member in department x would be appointed as a concurrent associate professional specialist in department y. Staff
who have concurrent status in order to teach a course should have concurrent status as special professional faculty, not as T-TT faculty.

1.2.6 Appointments

Adjuncts, visitors, and emeritus are limited appointments and require annual letters. We are no longer able to send e-mail offers to reappoint non-regular faculty. Going forward non-regular faculty need to be appointed annually with an official offer letter. With that, we will no longer be using the reappointment form. You will now need to send the appropriate offer letter (completed) that is available on the Provost’s website: https://provost.nd.edu/administrative-resources/appointment-letters/ via e-mail as an attachment to Mo Marnocha (mmarnoch@nd.edu). Typically the Dean’s FOAPAL pays for non-regular faculty but on occasion a different FOAPAL pays, in these instances, please include the FOAPAL in the e-mail. Also, because emeritus are continually active in the system, it is not necessary to appoint them annually, but the salary will need to be put in the system through Faculty Jobs with a comment about the course they are teaching.

Please pay close attention to the following language:

When they teach more than one course the following language should be used:

In the event that one or more of the courses you are teaching is cancelled, or you are unable to fulfill your duties, your salary will be prorated accordingly.

When they teach a single course the following language should be used:

In the event that the course you are teaching is cancelled, or you are unable to fulfill your duties, your salary will be prorated accordingly.

If there are no other items related to the appointment, you should delete the following:

The Department of xxxx and/or the University have agreed to the following items related to your appointment:

Signature lines for the Associate Deans are as follows:
1.2.7 Faculty Retention Procedures

When a faculty member receives an offer from another institution and a decision is made to extend a counter-offer, the chairperson prepares a letter with the terms as agreed upon by the Dean or the appropriate divisional Associate Dean. Please consult with the Dean’s office to determine the wording and format of the letter. The letter must have the signature of either the Dean of the College or the appropriate divisional Associate Dean as well as the department chairperson.

When a faculty member decides to leave the University, s/he will be contacted by the Dean’s Office and the Office of the Provost to set up an exit interview.

1.3 Renewals, Tenure, and Promotions for Teaching/Tenure Track Faculty

The most sensitive and important tasks that departments undertake are hiring, renewals, and promotions. The following sub-sections are intended to address basic procedures and challenges typically encountered with renewals and promotions.

1.3.1 Timelines for Renewal and Tenure Cases

Assistant professors in the college serve on a seven-year tenure “clock.” An assistant professor is normally hired on a first contract for three years. He or she will apply for renewal at the end of the second year or start of the third year (departmental CAP documents, and the department chair, will advise of precise deadlines for submitting materials). Following a successful renewal, the assistant
professor will receive a second contract for four years, and will normally apply for tenure at the end of the sixth or start of the seventh year (again, departmental CAP documents and the department chair will advise of the precise deadline for submitting materials). Notifications of tenure decisions are normally delivered at the end of the spring semester of the seventh year. Associate professors will not be retained in a probationary status and without tenure for longer than six years of active service.

Faculty may choose to be considered for tenure and promotion in the sixth year; if they do so, the case will be treated as a non-obligatory promotion case (see 1.3.12 below).

Faculty members may not “stop the clock” during or in connection with research leaves.

Faculty may stop the clock in connection with family and medical leaves or primary caregiver status, as dictated by the Academic Articles. Each clock extension adds a full year to the probationary period; faculty may receive one extension per FMLA leave, up to a maximum of two extensions before they must apply for tenure.

1.3.2. Renewals and Tenure Decisions

Renewals

Renewals are important decisions. The review is a barometer for the candidate’s progress toward tenure. Decisions to renew are made only when there is evidence of a clear path to tenure. If a department is uncertain as to whether the range of its faculty expertise suffices to judge the merits of a particular renewal case, the chairperson should work with the Dean to determine whether additional reviewers will be consulted.

Tenure Decisions

The College hires tenure-track faculty we are prepared to tenure. Granting tenure to an individual is the most important decision a university makes; it is not surprising that Notre Dame sets very high standards for tenure. Excellence in all
three areas of the profession is expected. It is important for chairpersons to communicate the standards clearly to the faculty and to take the lead in making sure that the appropriate standards are met.

When evaluating candidates for tenure, we should ask not only what the candidate has done to date, but also what the track record suggests concerning the future: Has the candidate marginally met our standards, or is the candidate someone who in five or ten years we would expect to promote and would be very eager to retain? Is the candidate likely to attract students? Is the candidate likely to be a leader in the profession? If a case is in doubt, it should not be supported.

1.3.3. **Required Materials for Renewal and Promotion Packets**
Starting in 2016-17, all renewal and promotion packets are handled electronically. Instructions for preparing the packets are found at the following link:
https://provost.nd.edu/administrative-resources/guidelines/

1.3.4. **External Letters**
Outside evaluations for tenure and promotion cases should come from faculty in leading or peer programs, or justification for their selection is necessary. Only full professors should be used in tenure and promotion cases, although there may be rare and justified circumstances for asking an associate professor to serve.

**Honoraria:** As a general rule, we do not offer honoraria to external reviewers. However, if offering an honorarium is encouraged within a particular discipline, up to $200 may be offered with the permission of the Dean’s Office. If a department offers honoraria for this purpose, the Dean’s office will continue to share those costs 50/50 with the department.

1.3.5. **Promotion To Full Professor**
The standard in research for promotion to professor, according to the *Academic Articles*, is “widespread recognition as a scholar.” In such cases, PAC is looking for evidence of quantity, quality, and continuing activity. The standard practice is that in those disciplines that expect a second book publication for promotion to professor, the book is in print before the case is forwarded to external reviewers.
The only exception would be for a case that is superior in every other way. In such a case, one could go forward with the book being simply accepted, but the bar would be very high for compensating factors. Routine cases, without superior achievement in teaching, in leadership, and in articles, lectures, grants, and other indicators of research should wait for publication. It is desirable, although not necessary, to include favorable reviews.

A case for promotion to full professor should also demonstrate consistent activity in terms of journal articles, lectures, reviews or external grant activity. Quality of journal placement is especially important in the social sciences, but it is also important in the humanities.

Teaching is evaluated as seriously as is research at all levels of promotion. For promotion to professor the Articles speak of “excellence in teaching.” One expects to see not only excellent teaching, but also a range of courses and, where appropriate, curricular development. In departments with graduate programs, one normally expects considerable activity in graduate programs, including work on dissertation committees and ideally the advising of students. Teaching should be evaluated according to ACPET Guidelines.

Service is normally expected both within and beyond the department, at the College or the University level and in the profession. Leadership and participation in professional societies is considered service and not research.

1.3.6. **Endowed Chairs**

Departmental CAP documents should specify procedures for the appointment of faculty to endowed chairs, whether internal or external candidates. Issues to consider in CAP documents include nomination procedures, criteria for nomination, and the process of evaluation, including designation of the body that will cast a vote. If a department has a sufficient number of endowed chairs, this body should consider the case for appointment. Otherwise, the Full Professor Committee may be the most reasonable choice.
Endowed chair packets should include at least six letters from eminent scholars who hold the rank of professor or endowed professor. For a sample letter soliciting a letter for an endowed chair case, please see the template letter: https://al.nd.edu/assets/181195/ext_reviewers_for_endowed_chair_candidate.pdf

As with other promotion reviews, the letter writers should be persons who are independent and able to evaluate the candidate’s fitness for an endowed position objectively. Again, as with other promotion cases, a full set of published book reviews of the candidate’s work should be included. For both internal and external candidates, a detailed account of the candidate’s capacities as a teacher is expected.

The case for appointment to an endowed chair should be prepared by the departmental deliberating body in such a way that the College’s endowed chair review committee, which by definition consists of persons outside the field, can fully grasp the candidate’s contributions and make an unbiased judgment.

The Academic Articles permit the possibility of bypassing departmental review of a candidate for endowed chair at the department’s request, however, it is preferable, especially in departments with multiple endowed chairholders, to have an initial review within the department.

Following the submission of a completed packet, the divisional associate dean convenes a College-wide committee of three endowed chairs (ideally one from each division if sufficient endowed chairs are available, and all outside of the candidate’s department) to review the case. The divisional associate dean functions as the ex officio chair of the committee. The minutes of this meeting and a letter from the associate dean are added to the packet and then given to the Dean of the College for his or her recommendation. The packet then goes to the Provost and the President.
1.3.7. Non-Obligatory Promotions

For non-obligatory cases, that is, tenure cases in advance of the required review date and promotions to full professor, candidates are strongly encouraged to submit materials to the Dean’s Office—through their chairpersons—for review by the Dean’s Advisory Committee on Non-Obligatory Promotion Cases (DAC). The Dean’s Advisory Committee serves as an advisory group to the Dean to provide independent assessments of all non-obligatory cases. Candidates may submit materials to the Dean’s Office—through their chairpersons—for an airing before the DAC. This committee consists of the Dean of the College, the associate deans for each division, and three elected members of the Provost’s Advisory Committee from the College of Arts and Letters. The Committee serves as an advisory group to the Dean, who provides feedback to the chairperson who, in turn, informs the prospective candidate. The advice may take various forms, for example, it might be an exhortation to proceed, it might attempt to dissuade the candidate from proceeding, or it might indicate that the Committee was split and that a candidate should take this into account when deciding whether to proceed. In cases where the advice is not an endorsement to proceed, the Committee will assist the Dean in formulating recommendations for the candidate’s development so that the candidate may build a stronger case.

The committee makes a recommendation to the candidate, either encouraging her to proceed or advising her to wait until a stronger case can be made. In all cases, the recommendations are advisory. Faculty retain the right to proceed no matter what the recommendation is from the Committee provided that they proceed within the guidelines set out by the Provost’s Advisory Committee and incorporated into departmental CAP documents.

A submission to the Committee consists of: (1) a current C.V.; (2) a TCE history (requested via e-mail through the Provost’s Office to Collins.79@nd.edu with the following information included: (a) intended use for the report, and (b) full name of each faculty member and her/his 9-digit NDid number) and/or CIF reports which each chairperson can print from Course Instructor Feedback; and (3) a brief statement from the chairperson outlining his or her preliminary view of the
case, with a focus on standards for promotion and the ways in which the candidate does or does not meet the standards. The chairperson is responsible for reviewing the candidate’s CV for accuracy and presentation. Please ensure the CV is formatted along the guidelines earlier in this Guide: Section 1.3.4, The C.V. The chairperson’s letter should address teaching, scholarship, and service in three separate paragraphs or sections. The section on teaching should include more than just an interpretation of the candidate’s TCE/CIF history. Consider including information, if applicable, regarding the candidate’s design and implementation of courses, curricular innovations, and mentoring of students as well as information on student learning. And, too, the candidate’s contribution to graduate education (i.e. dissertations supervised or committees served on, and the current placement of graduate students) and informal undergraduate education (senior thesis direction) should be noted. The section on scholarship should outline the expectations for research in the candidate’s discipline; do not assume that the members of the Dean’s Advisory Committee are intimately familiar with all the disciplinary standards. The section on service should outline three types of contributions; service to the department, service to the College or University and service to the profession. Assistant professors are likely to have limited experience in the second and third service categories. In sum, the chairperson’s letter should provide as full a picture as possible and include evaluative remarks regarding the candidate’s case.

Chairpersons are encouraged to be as candid and as thorough as they can be given the absence of external letters. This is a non-binding evaluation that is intended to help faculty assess their current standing. All parties involved in this preliminary screening begin their evaluations anew when the full case comes before them.

Promotion and tenure cases that are not mandated may be withdrawn at any point in the process, but only with the candidate’s approval. If you are considering withdrawing a case and do not have experience in such matters, please contact the Dean.

Should a case be withdrawn after the solicitation of external letters and revisited
the following year, departments must use exactly the same slate of reviewers as the previous year, or they must select an entirely different set of reviewers. They may not pick and choose from the previous year’s list.

1.3.8. CAP Documents
Every department is required to have an approved Committee on Appointments and Promotions (CAP) policy document. At minimum, this document should address the procedures for the election of a Committee on Appointment and Promotions (CAP), a Full Professor Committee (FPC), and specify the committee membership that will recommend candidates for endowed professorships.

It must also contain the basic procedures stipulated by the Provost’s Advisory Committee (PAC) for the promotion process. Beginning in 2008, departments are required to provide a statement that includes disciplinary criteria for promotion in the CAP document. These statements should sketch in broad strokes the expectations that we have for promotion to a specified rank at Notre Dame. The statements may be viewed as interpretations of the official standards in the Academic Articles in specific and disciplinary terms. They should be for the sake of both the external reviewers and the members of PAC and will become part of the official packet for promotion cases. The statements should also explain how departments evaluate interdisciplinary research and less conventional scholarly contributions such as textbooks, computer software publications, translations and creative work.

The CAP document should reflect the unit’s specific procedures for evaluating teaching, congruent with the ACPET Guidelines.

Probationary faculty members should be informed of the requirements for tenure, relevant time tables and deadlines, and the process of evaluation. Each new faculty member should receive a copy of the department’s CAP document.

CAP documents should be regularly reviewed. Revised CAP documents are submitted to the divisional associate dean. After preliminary approval, they are
sent to the Dean and the Provost for final approval. Documents do not become legally binding until they have the signatures of the chairperson and the Dean.

1.3.9. **CAP Meetings**

CAP meetings must be conducted according to University and departmental procedures. All CAP members of the committee accept personal responsibility for assuring that reviews are procedurally correct, fair, and free of bias for all faculty members. Any procedural difficulties or other concerns about a review should first be brought to the attention of the relevant review body. If they cannot be resolved, they should be brought to the attention of the chairperson of the department or the Dean. If CAP members are uncertain about a procedure, they should contact either their divisional Associate Dean or the Dean before proceeding. Some departments appoint a member of the CAP to oversee that written procedures are observed, and that proceedings are carried out professionally and without bias.

Under the *Academic Articles*, CAP meetings and deliberations are confidential. A breach of confidentiality is a serious violation of professional ethics. If a faculty member is unable or unwilling to act according to this policy, he or she should withdraw from all CAP deliberations.

1.3.10. **Retirement**

There are few moments in an academic’s career as difficult and worrying as they move towards retirement. A department chair should not raise the issue of retirement unless and until the individual faculty member raises it first. However, once a faculty member seeks counsel concerning a decision to retire, it is important to provide support and clear and accurate information.

Currently, all available options for tenured faculty are covered in the Faculty Retirement Transition Program. Details of the Program, together with sample forms, are set out on the website of the Office of the Provost:

[https://provost.nd.edu/administrative-resources/faculty-retirement-transition-program/](https://provost.nd.edu/administrative-resources/faculty-retirement-transition-program/). Faculty who would like to discuss any issues concerning their
retirement should meet with their Department Chair and/or the appropriate divisional dean. Such meetings are, of course, strictly confidential.

Information about retirement programs is also available on the Human Resources website: http://hr.nd.edu/benefits/retirement-savings/.

1.3.11. Emeritus

Retiring faculty members may be appointed to the rank of emeritus faculty following a formal request from the department chairperson. Normally this request is part of the discussions with the divisional associate dean concerning terms for retirement.

1.3.12. Feedback to Faculty

Chairpersons should provide constructive feedback to candidates after renewal, tenure, and promotion decisions. In addition, the progress of all junior faculty should be reviewed by the CAP annually, followed by an annual evaluation letter from the chairperson. The evaluation should cover research, teaching, and service. All annual review letters should be submitted to the associate dean for your division for approval. Once the letter has been approved and sent to the junior faculty, a copy is sent to the Provost’s Office. Annual evaluations are not included in tenure and promotion packets.

1.4 Renewals and Promotions for Special Professional and Research Faculty

Special Professional Faculty (SPF) and Research Faculty (RF) are regular faculty members in the College of Arts and Letters. They make vital contributions to the College in a wide range of areas. Their functions include instructional duties, administrative responsibilities, technical or creative obligations, research, and various combinations of these specific tasks. In addition, many make important contributions in service.

1.4.1. The Ranks

Special Professional Faculty hold the ranks of assistant, associate and full.
Qualifications for each rank and terms of appointment can be found in the Academic Articles, Article III.3(d), available at:

http://facultyhandbook.nd.edu/governance/

SPFs may have either a nine-month or a twelve-month contract. The length of the contract depends entirely on their functions. Instructional SPFs, or those whose primary obligation is to teach, have nine-month contracts. All other SPFs have twelve-month contracts. SPFs who serve as Directors of Undergraduate Studies or Assistant/Associate Directors of program units are regularly given twelve-month contracts because they are expected to continue their administrative functions during the summer months.

1.4.2. Responsibilities

The assignment of responsibilities varies widely and is determined on an individual basis. Responsibilities should be addressed annually at the time that the department chairperson or unit director evaluates the previous year’s performance for a salary recommendation. It is important that there be a mutual understanding about responsibilities. It is assumed that a major part of a SPF’s responsibilities will lie in the area of teaching or research. Employees whose responsibilities are exclusively administrative should be appointed as staff.

The standard teaching schedule for those who are principally hired as instructors is the equivalent of a 4:4 course schedule. The schedule is calculated on the basis of the workload of teaching-and-research (T-TT) faculty who are required to carry a 2:2 course schedule and devote as much time to research as they do to teaching. The 4:4 schedule may be reduced when administrative or other obligations are assigned. The reduction should be commensurate with the same level of course reduction for T-TT faculty who serve in similar capacities.

All faculty are expected to contribute service to the University and to participate in the development and governance of their respective departments, the College, and the University.
1.4.3. Reviews/Renewals

Packets for any SPF or RF whose contracts are up for renewal are due October 6. Review packets for those on one year contracts who have not been reviewed and are in their 3rd year since their last review are also due October 6. The College strongly encourages departments to conduct reviews of SPF and RF during the Spring semester, well in advance of the Fall deadline. Departments are welcome to submit their packets to the Dean’s Office in the spring or summer. Packets for SPF faculty who are recommended for non-renewal must be received by the Dean’s office by October 6.

Annual Reviews

SPF and RF should be reviewed annually prior to the setting of salaries for the following year. An annual review is intended to provide SPF and RF with an indicator of their performance during the year; it is not intended to assess whether they should be offered another contract. This review does not require a packet, but does require a process of evaluation. The process may be informal, although the College strongly urges chairpersons and directors to provide written feedback. Reviews for clearly high-performing SPFs and RFs do not need to be overly long. If, however, an SPF or RF appears to be struggling with his or her responsibilities or there are questions about performance, a more extensive review would be warranted.

Renewals

All reappointments of SPF and RF require, under the Academic Articles, that
(a) The faculty member “is notified in advance of the evaluation process and submits a statement and evidence on the faculty member’s own behalf for use in the evaluation process.”  For sample notification letters go to https://al.nd.edu/assets/181197/notification_of_assistant_spf_and_full_spf_reviews.pdf
(b) The Chairperson consults with the CAP
(c) The Chairperson submits a written recommendation to Associate Dean Holland (serving as the Dean’s designate.)
For reappointment of any SPF on one-year contracts, there is a difference in the extent of the process in the first and second year of any three-year cycle compared with the third year when the individual will be subject to a renewal review (see below). In years one and two, a chairperson’s recommendation may be made using this template letter:

Dear Associate Dean Holland,

I recommend that (xxx) be reappointed as an (Assistant/Associate/blank) SPF from xxx to xxx. Both the Department’s Committee on Appointments and Promotions and I have considered the materials submitted and we have evaluated the case. I shall discuss with (xxx) the evaluation of (his/her) work, drawing special attention to the following areas where the CAP and I adjudged there was room for improvement: (xxxx).

Sincerely,
(signature of chairperson)

NOTE: For newly hired faculty in their first year, we have extended this deadline to January 15, 2018, to provide sufficient time for observation.

Assistant SPFs or assistant RFs must have a renewal review every third year or in any year that there are serious reservations about the performance of the faculty member, as noted above under annual reviews. It may also serve as an annual review, but is far more comprehensive. Refer to the check list at https://provost.nd.edu/administrative-resources/guidelines/ to determine what must be included in the packet. Associate and full SPFs and Associate or full RFs must have a renewal packet when they are eligible for a long-term contract or when their contract is up for renewal, e.g., in the second year for an associate SPF who has a three-year contract or in the fourth year of a full SPF who has a five-year contract. If a SPF or a member of the RF is housed in a department, the chairperson and the CAP process the renewal. If a SPF or a member of the RF is housed in a unit other than a department, the Director works with the College Committee on Promotions (CAP) for Associate SPF or Full SPF.

The following is clarification of one, three, and five year contract timelines.

Assistant SPF or RF
Contracts
- All contracts are one-year contracts.

Renewal/Reappointment
- Letters with reappoints that are recommended by the chair and CAP can be submitted as e-attachments to Assoc. Dean of the Arts and Special Professional Faculty if there are no changes in the individual’s duties. If the duties have changed, the letter must specify those changes.
- Full packet every third year (process begins in the spring of the second year) or any time that renewal is in question.

Associate SPF or RF

Contracts
- Contracts may be one or three years in length. [A three-year contract may be requested after three consecutive years of employment.]

Renewal/Reappointment
One-year contracts:
- Letters with reappoints that are recommended by the chair and CAP can be submitted as e-attachments to Assoc. Dean of the Arts and Special Professional Faculty if there are no changes in the individual’s duties. If the duties have changed, the letter must specify those changes.
- Full packet every three years (process begins in the spring of the second year.)

Full SPF or RF

Contracts
- Contracts may be one, three, or five years in length. [A multi-year contract may be requested after five years of continuous employment.]

Renewal/Reappointment
One, three or five-year contracts:
- Letters with reappoints that are recommended by the chair and CAP can be submitted as e-attachments to Assoc. Dean of the Arts and Special Professional Faculty if there are no changes in the individual’s duties. If the duties have changed, the letter must specify those changes.
- Full packet every five years. (process begins in the spring of the fourth year)
- Three-year contracts, full packet (process begins in the spring of the second year).
- One-year contracts, full packets required every third year (process
begins in the spring of the second year)

A member of the special professional faculty with at least six years of full-time service with the University who is notified that his or her contract will not be renewed is normally entitled, upon request, to a terminal-year contract.

For any SPF or RF whose 3 or 5 year contracts are ending, refer to the administrative calendar for the date that packets are due in the Dean’s office.

1.4.4. Promotion Standards

The promotion of SPF faculty is based on excellence in performance. Unlike teaching-and-research (T-TT) faculty who have fixed time allotments for their probationary period, SPF faculty have no time restrictions on their respective ranks. A denial of promotion does not automatically limit the term of service for an assistant SPF or RF. While there are some minimum service time requirements that are ordinarily required before a SPF or RF is eligible for promotion to the rank of associate SPF or RF, there are no maximum time limits for that rank.

Evaluations of SPF are often complex since they involve unusual combinations of responsibilities. The following represent general standards based on the areas of responsibility. It is understood that most SPF will need to address several of these areas.

Standards for the Evaluation of Teaching. SPF who have instructional obligations are required to demonstrate pedagogical excellence. This must be evident in the supportive material that the candidate submits, the student evaluations, and the peer evaluations. We recommend that candidates for promotion submit a teaching portfolio to the CAP for their evaluation. We expect a level of pedagogical excellence to emerge from all of these materials in three areas: evidence that the learning objectives of the course are being met, current and relevant course materials, and student satisfaction with the quality of instruction. Teaching at average levels is not a basis for promotion; the quality must be excellent. It is also
imperative that a candidate for promotion demonstrate professional development since the date of hire or the last promotion.

*Standards for the Evaluation of Administration.* SPF who have administrative responsibilities are routinely evaluated by the heads of their units. Promotion requires demonstrated excellence of service to the constituencies served, whether students, staff, faculty, or administrators. This should be demonstrable in levels of efficiency and responsiveness, the evaluation and revision of current procedures and policies, and the expansion of responsibilities.

*Standards for the Evaluation of Research and Creative Accomplishments.* The evaluation of research and creative accomplishment for SPF or RF who have this as part of their obligation is determined by the standards of the relevant discipline. SPF or RF who apply for promotion to full SPF must demonstrate widespread recognition for excellence in the field through publications, performances, gallery showings, or designs. The venues of publication include scholarly monographs, articles in refereed journals, edited volumes, book chapters, translations, and other publications. The venues for creative work include exhibitions, performances, and screenings in regional, national, or international galleries, festivals, or theatres. The criteria are the same for both research and creative work: the work must represent an advancement of the discipline and the advance must be recognized in the discipline as a whole, not simply at the University of Notre Dame or the region.

*Standards for the Evaluation of Technical Work.* SPF or RF who provide technical support in scientific or creative areas are routinely evaluated by the director of their unit or chairperson. Promotion requires superior performance. Excellence must be demonstrable through the increased efficiency of the unit, in the expansion of services provided by the unit, in a series of evaluations that document exceptional quality of work, or in advances in technology made by the faculty member. In creative areas, superior performance must be demonstrable through a series of evaluations that document the exceptional quality of the work or in advances in the technology of the field made by the faculty member.
Standards for the Evaluation of Service. All faculty are expected to contribute to the development of their unit, the College, and the University. This contribution may include a wide range of services from departmental committee work to community-focused projects for students. It is important that specific contributions are identifiable and advance the unit the faculty member serves.

1.4.5. Promotion Procedures

It is the right of a member of the faculty to request consideration for promotion and to go through the promotion evaluation when they have met the criteria; however, it is only advisable to do so with the support of the department or director. If someone requests consideration and a negative decision is reached, the chairperson/director/administrator and relevant CAP may deny a request in the subsequent year unless the candidate can present evidence of significant development.

Special professional faculty or research faculty who are members of a department are considered for reappointment and promotion by the CAP committee and chairperson of their department. They are subject to the promotion policies of their departments that are outlined in the department’s CAP Policy. In departments having associate or full SPF or RF on the faculty, the CAP committee should invite one of the senior SPF or RF to serve as a consultant when the promotion case of a SPF or RF is under consideration. While the SPF or RF consultant will not have voting rights on the CAP committee, it is important to include someone from a peer rank during the deliberations.

SPF or RF who have appointments in units that do not have CAP committees will be evaluated for reappointment by the director of the unit. They are subject to the policies of their unit and the special policies of the College for SPF. Promotion cases for SPF or RF and renewals of associate SPF or RF with three-year contracts will be handled by the College of Arts and Letters Committee on Promotions to Associate Special Professional Faculty. This committee consists of 9 elected members: one associate or full SPF from each of the 3 divisions, two
full SPF at large from the College and four tenured full T-TT at large from the College. The director/head of the faculty member’s unit under consideration serves as an ex officio member of the Committee. The Committee is elected by the SPF faculty of the College to serve three-year terms. The election will be held at the same time of the year that other elections in the College are conducted. The terms will be staggered so that there is a degree of continuity. Faculty are eligible to be re-elected once before rotating off of the Committee. The Committee members will elect a chair at their first meeting of each year.

In instances where there are not two full professional specialists and one full professor from the T-TT ranks, the Associate Dean for the Arts, in consultation with the Committee on Promotions for Associate Special Professional Faculty, will appoint the required number of full professors. The director/head of the faculty member’s unit under consideration serves as an ex officio member of the Committee, which is convened on an ad hoc basis. It will elect its own chair at the first meeting of its deliberations on a case or cases.

The CAP or College committee is responsible for writing the relevant evaluations required of a promotion case. In the event that research/creativity is one of the areas of responsibility, it may be necessary to ask another member of the faculty who has expertise in the same field to write a report.

In all review cases, the recommendations of the chairperson and CAP committee or the relevant College promotion committee are forwarded to the Dean’s Office by October 7th each fall. The Associate Dean for the Arts (or the Dean) makes an independent recommendation. When the associate dean (or Dean) anticipates a disagreement with the department or the College committee’s recommendation, the Associate Dean for Faculty Affairs or the Dean will meet with the relevant unit to discuss the case. The case then proceeds to the Provost’s Office. The Provost forwards the packet to a subcommittee of the Provost’s Advisory Committee (PAC) that considers SPF promotions. The case proceeds from the Provost’s Office to the President who makes the final decision.
1.5 Faculty Development

1.5.1 Mentoring

If granting tenure is one of our most important decisions, mentoring is one of our most important obligations. In many ways, all senior faculty should naturally serve as mentors in varying degrees. Junior faculty members in most department are given support and advice, although we can always do better. Because mentoring is highly individualized, it is important to consult with newly-hired probationary faculty early in the first year to determine the best form of mentoring relationship. [More information on mentoring may be found at the end of this Guide “Resources for New Department Chairpersons,” Section D.]

Even though much of mentoring is informal, some aspects are formalized in University and College policies. The University requires all chairpersons to send annual letters of review to probationary faculty. Drafts are to be submitted to the divisional associate dean in advance; final copies are forwarded to the Provost’s Office and kept in faculty personnel files, although annual evaluation letters are not part of reappointment, tenure, or promotion files. The letters should be encouraging in tone, but provide clear advice, e.g. about the best journal or press placements, priorities for teaching and research, etc. It is important to remember that these are not letters of evaluation, but letters that are intended to help faculty move successfully toward tenure. Many departments involve the CAP in reviewing candidates’ materials and offering advice.

Chairpersons should also take a leading role in the promotion of teaching within their department. Peer review of teaching should take place at regular interviews and be undertaken for a variety of courses of differing levels; it should not be concentrated into a few weeks during years three and six.

1.5.2 Annual Faculty Performance Evaluations

Every faculty member, including every administrator, benefits from regular, constructive feedback on performance. In most cases, feedback will be given as part of the annual faculty performance review. Chairpersons should solicit an
annual report (or updated cv) from each faculty member, giving the faculty member an opportunity to submit any information that would be useful in making salary recommendations to the Dean. In some departments, performance reviews are done in consultation with the CAP or a designated ad hoc committee. In the latter cases, the CAP or the ad hoc committee may assist the chairperson in the development of evaluation policies and procedures and provide a ranking of the performance of the faculty member; however, the CAP or ad hoc committee may not make salary recommendations. This is the sole responsibility of the chairperson.

1.5.3. Principles for the Review

The chairperson should inform candidates in a timely fashion when the annual review will take place and give them a list of materials that they should submit. Because the annual budgetary procedures, which include submissions of salary adjustments, occur at Notre Dame in the early months of the new calendar year, chairpersons ordinarily review their faculty in January for the last calendar year.

Every member of the faculty is required to submit electronically an updated cv to their respective department’s administrative assistant by January 12. The administrative assistant will enter it into the Document Library in the Database as well as put a copy on the department’s webpage. The College recommends that chairpersons solicit, in addition, an annual activity report (https://al.nd.edu/assets/174973/annual_report.pdf) that includes information on faculty activity in teaching, research, and service. Chairpersons should review supporting documents, such as course syllabi, student evaluations of teaching, peer reviews of teaching, publications, and published reviews; additional materials might include information concerning curricular development and enhancement, the formal record of advising and placement of students, and the informal record of mentoring.

All three areas of the profession (teaching, research, and service) should be considered in annual reviews, with appropriate weights assigned to each area. These weights should be determined by departments or department chairpersons and will differ for individual faculty members depending on their teaching
responsibilities and service obligations. The general practice for the College is to evaluate tenured faculty on a 40/40/20 basis: 40% for teaching, 40% for research, and 20% for service. However, a chairperson or the department may want to make different choices. Psychology currently sets its default formula at 30% teaching, 50% research, and 20% service but permits faculty members to adjust each category by up to 10%. For example, one faculty member might choose weights of 30% teaching, 40% research, and 30% service; another might opt for 20% teaching, 60% research, and 20% service. As long as a faculty member is teaching four courses annually, it is not advisable to let teaching count for less than 30%. For tenure-track faculty, the general practice in the College is to evaluate with the standard of 45% for teaching, 45% for research, and 10% for service. Service could go as low as 5%, but it should always be a factor.

It is important to take the specific circumstances of a faculty member into account when weighing responsibilities. For example, if a faculty member was on leave during the spring semester and then taught two courses in the fall, the weights for a tenured faculty member should be something like 20% for teaching, 70% for research, and 10% for service. Similarly, individuals who receive course reductions for administrative service should transfer the percentage of time for the course reduction to service, e.g., a DGS with a two-course reduction for a large program should have percentages that run something like this: 20% teaching, 40% research, and 40% service.

In the case of professional specialists (SPFs) whose primary obligation is teaching, the ratios will differ dramatically. Teaching should receive the greatest weight, up to 80% or more, with the remainder usually assigned to service or professional development. In the case of other SPFs who have multiple obligations, the ratios must be worked out at the time of hire or in the preceding year’s annual evaluation.

Regarding the teaching component, chairpersons ordinarily review quantitative TCEs, peer visitation reports, and materials submitted by the instructor (syllabi,
narrative TCEs, student work, etc.).

When evaluating research, it is important to devise strategies to take account of long-term, multi-year projects and to avoid encouraging faculty members to publish work annually simply in order to meet expectations. As in all areas, quality is more important than quantity, though without a certain quantity one cannot judge quality.

The review of service should normally include department, College, University, and professional service as well as, where appropriate, outreach to the community.

Faculty on leave, for part or all of an academic year, should be judged without prejudice for being on leave. However, faculty members on leave who wish to be considered for a merit increase must submit the same materials requested of other faculty members. As noted above, service and teaching percentages should be appropriately adjusted.

### 1.5.4 Communicating the Review

Chairpersons should establish a means for providing annual feedback to faculty members about their performance. While this is a significant challenge for chairpersons of the largest departments, it is an important task. The performance review allows the chairperson to recognize extraordinary performance and contributions to the work of the department as well as to identify areas of concern.

Some departments have instituted a process for more formally reviewing tenured faculty (particularly associate professors) on a regular basis, e.g. every three years. The review addresses areas that need improvement if the candidate is to make acceptable progress toward promotion, as well as recognizing significant contributions. Beyond providing guidance to faculty members, such reviews also afford faculty members the opportunity to express concerns about their progress to date and to suggest ways in which the chairperson, colleagues, and the
University can assist faculty members in achieving departmental goals and University standards. In the case of a faculty member who is performing below standards, a written evaluation should be given, articulating strategies for improvement and offering whatever assistance is needed.

1.5.5 Salary Recommendations
Each year, chairpersons are asked to provide the Dean’s Office with a ranked list of faculty in their department and a list of salary recommendations for each faculty member. The standard increase should be recommended for faculty members meeting the high expectations appropriate to Notre Dame as an international teaching-and-research university. No increase or a less-than-standard increase should be recommended for any faculty member who is not meeting expectations. Additional adjustments should be recommended where the chair believes there are equity concerns or extraordinary merit. Each year, the University Budget Group determines the standard faculty raise pool. Additional funding is reserved at the decanal level for three purposes: first, for promotions; second, for persons who have performed in truly distinctive ways during the past year (adjustments for extraordinary performance); and third, for persons whose salaries over time have not kept pace with their performance (equity/excellence adjustments).

Chairpersons should base their recommendations on fair and thorough evaluations of a faculty member’s performance over the past year. Even if a committee or the CAP is involved in the annual review, only a chairperson may make salary recommendations. Recommendations should be submitted in advance of the scheduled salary meeting and should provide enough narrative background (e.g., # of publications or performances, venues, quantitative and qualitative information on teaching, some indication of the quality of departmental citizenship) to justify recommendations. In order to provide a check for general impressions, many chairs assign to each area—teaching, research, and service—an appropriate percentage (e.g., 40%, 40%, and 20%, respectively) and then develop for each area an appropriate rating on a scale, which might include such
categories as superior, excellent, very good, standard (good), substandard, and unacceptable.

Here is one model: Begin by listing the assigned weights for all faculty, e.g., teaching, research, and service at 40%, 40%, 20% or 45%, 45%, 10%. Make sure that the percentages are correct. For example, a DUS with a two-course reduction might be evaluated by 20%, 40%, 40%. A tenured faculty member on leave for one of the semesters under consideration might be evaluated on a 20%, 70%, 10% basis. A long-term associate professor who teaches an extra course in lieu of research might have been evaluated by 60%, 20%, 20%. Assign a numerical value to each of the six categories above for the performance of each faculty in the three areas (superior=5, excellent=4, very good=3, standard=2, substandard=1, and unacceptable=0). You may wish to work through each area separately rather than to work through the list by faculty. This will give the chairperson a clearer lens for making comparative judgments about performance in each area. Multiply the number of the score by the percentage of the weight of that area for each individual faculty member. The factor that you use to multiply is the percentage that you have assigned: 40%=.4, 20%=.2, etc. Remember that the total of the factors by which you multiply must add up to 1, e.g., .4 + .4 + .2=1, .45 + .45 + .1=1, .4 + .2 + .4=1, or .7 + .2 + .1=1. Once you have multiplied the numbers, add the total for all three and list the faculty in a descending order on a scale of 5 to 0.

It is a good idea to do this solely by the numbers at first. Once you have established your list, work through it carefully and ask if there are any surprises. Work through any surprises to make sure that the evaluation has been fair and impartial.

Here is an example of the exercise. If we take the four scenarios above, we would have the following. Remember %=percentage of the weight in the evaluation, S=score, and WS=weighted score. For the sake of the evaluation, we will use different scores since faculty will likely score differently.

<table>
<thead>
<tr>
<th>Faculty</th>
<th>Research</th>
<th>Teaching</th>
<th>Service</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>%  S  WS</td>
<td>%  S  WS</td>
<td>%  S  WS</td>
<td></td>
</tr>
<tr>
<td>Full Prof</td>
<td>40%  3  1.2</td>
<td>40%  2  .8</td>
<td>20%  4  .8</td>
<td>2.8</td>
</tr>
<tr>
<td>Position</td>
<td>Salary 1</td>
<td>Salary 2</td>
<td>Salary 3</td>
<td>Salary 4</td>
</tr>
<tr>
<td>-------------------</td>
<td>----------</td>
<td>----------</td>
<td>----------</td>
<td>----------</td>
</tr>
<tr>
<td>Assist Prof</td>
<td>45%</td>
<td>1.8</td>
<td>45%</td>
<td>1.35</td>
</tr>
<tr>
<td>DUS</td>
<td>40%</td>
<td>1.6</td>
<td>20%</td>
<td>5</td>
</tr>
<tr>
<td>Faculty on leave</td>
<td>70%</td>
<td>3.5</td>
<td>20%</td>
<td>2 .4</td>
</tr>
<tr>
<td>Long-term Assoc</td>
<td>20%</td>
<td>1 .2</td>
<td>60%</td>
<td>4 2.4</td>
</tr>
</tbody>
</table>

1.5.6. The Process

Once a chairperson has submitted the salary recommendations, a meeting is scheduled with the Dean and the divisional associate dean. The meeting will afford the deans the opportunity to ask questions, and gives chairpersons the opportunity to contextualize some of the recommendations. Following the meetings with department chairpersons, the Dean will work through the budget and set the salaries in consultation with the Provost. The Senior Director of Finance and Administration contacts department chairpersons when the budget has been finalized by the Provost, and department budgets are ready for signature.

1.5.7. Salary Appeals

Faculty members who are dissatisfied with the raise that they received are welcome to meet with the chairperson or appropriate associate dean to express their concerns. If the faculty member wishes to file a formal salary appeal, the faculty member should present the case to the chairperson in writing. If the chairperson finds the complaint well-grounded, he or she should forward the original request to the divisional associate dean along with a recommendation. If the chairperson finds the complaint ungrounded, he or she should respond to the faculty member in writing (it is a good idea to review the salary appeal letter and the written response in advance with the Associate Dean for Faculty Affairs). The evaluation of any appeal should take into account all three areas of the profession: teaching, research/scholarship, and service. The next avenue of appeal is the divisional associate dean. The associate dean will consider an appeal only if the chairperson has responded first. All appeals will be reviewed by the Dean as well.

All College salaries are reviewed regularly for equity. In addition, the Provost’s Office annually conducts an equity audit of all faculty salaries.
1.5.8. Differential Course/Service Schedules

The University of Notre Dame made a decision to become a research university in the nineteen sixties. At that time, a standard faculty course schedule of 2/2 was adopted. While most faculty have taken advantage of this reduced teaching schedule to increase research productivity, it is not universally true. The college has not formally adopted a policy assigning additional courses to faculty members whose research productivity is below expectations. However, a pattern of sub-standard research productivity ordinarily results in a below-standard raise or no raise. In order to provide faculty whose research productivity is below expectations with the opportunity to receive a standard or above standard raise, faculty may elect to accept additional courses or to continue exceptional service loads. Chairs are encouraged to explore options with faculty in these cases. Exceptional contributions to the College in teaching and service will be recognized as are exceptional contributions in research.

1.5.9. Course Buyouts

Faculty can use grants as an avenue to give them more research time and their units more funding by including a request for funds to buy out courses. For a one-course reduction the College is seeking 25% of salary plus benefits. We will also consider 15% of salary plus benefits, if there is good reason to prefer that number. In special circumstances other scenarios might be considered. Normally benefits are calculated at 25-29% of salary. In most cases, a portion of the funds from a course buy-out will be used to fund replacement teaching in the department from which the course has been lost. Faculty in the social sciences may substitute course buy-out requests in place of fellowship requests in grant applications when making a leave application, if the relevant funding agencies do not provide fellowships (see below under Leaves).

1.5.10. Journals

The College has invested considerable resources over the years in support of journals. This support includes space, release time, and financial support. All proposals for support should be directed to the Associate Dean for the Social
Sciences and Research. A faculty member who is interested in seeking the assistance of the College should discuss the possibility with their chairperson and with the Associate Dean for the Social Sciences and Research before submitting a formal proposal for consideration.

1.5.11. Service

College expectations for service aim at a balance between protecting faculty from overextending themselves thus impeding the development of their careers, and encouraging all faculty to contribute to the advancement of the department, the University, the academy and civic society. They are intended to promote a culture that both encourages a sense of community among faculty and protects the conditions for excellence in teaching and research. Obligations will vary according to individual interests and as faculty members advance through the ranks. Over time, all faculty members are expected to make noteworthy contributions to our University and to their respective professions. Appropriate service contributions are taken seriously in decisions concerning reappointment, tenure, and promotion.

Chairpersons should allocate departmental service assignments for the year with attentiveness to an equitable distribution. Special notice should be given to disproportionate service expectations on women and minority faculty members. It is considered a best practice for a chairperson to recognize that when a faculty member is involved in a particularly heavy service role, either internally or externally, he or she might be temporarily excused from other demanding service roles. Such activities might involve organizing a conference, serving as an officer in a disciplinary organization, or serving as the editor of a major journal. The most important assignments, such as search committees or other committees with especially important work for the given year, should be made first to ensure that members are not over-committed. In addition, institute directors should contact chairpersons in advance of creating a ballot for an election to an institute committee in order to verify that selected faculty members are able to take on additional service.
Persons on leave, especially assistant and associate professors, should be counseled to refrain from service contributions during this period. When this is not possible, the extent of the contribution should be weighed carefully. Questions on this issue may be directed to the appropriate divisional Associate Dean.

**Teaching-and-Research or Tenure-Track Faculty (T-TT)**

*Instructors*

The primary obligations of an instructor are to complete the dissertation and to prepare new courses. All service obligations should be kept to a minimum until the dissertation is completed, defended, and the final copy submitted. The College recommends that the service load for instructors be no more than 5% of the total workload. It is not appropriate to ask an instructor to serve on an especially time-consuming departmental committee. Instructors should refrain from College or University service obligations. We strongly discourage instructors from becoming involved in time-consuming University service.

*Assistant Professors*

It is important for assistant professors to demonstrate that they are committed to the construction of a healthy and vibrant department and to the respective discipline as a whole. In addition, service contributions help socialize assistant professors into the roles that they will play to a greater extent later in their academic careers. However, their contributions should be relatively modest in scale. The College recommends that the service schedule for assistant professors be kept to 10% of the total workload.

Department chairpersons might ask an assistant professor to serve on one or two departmental committees, e.g., the departmental committee on curriculum or teaching and one search committee. The College recommends that assistant professors not participate in College or University committee work unless the individual has a particular interest in the specific committee, and the nature of the work would not be overly time-consuming. Assistant professors may not be asked to serve in a major departmental administrative position without the permission of
their divisional Associate Dean.

At the assistant professor level, departmental service is most important. Ideally, faculty members at all ranks and especially assistant professors would consult with their chairpersons or directors before accepting service assignments outside their primary academic units.

It is important for department chairpersons and directors of institutes, centers, and programs to avoid doubling the service obligations for assistant professors who have standing in both units. Each unit may ask an assistant professor to serve on one committee but should avoid asking the faculty member to serve on more than one without consulting the department chairperson or the director of the institute, center, or program. The total load between the two units should not exceed the load recommended for a faculty member in a department.

Associate Professors
When the University tenures a member of the faculty, it makes a commitment to the individual and expects the individual to make a reciprocal commitment to the University. For this reason, we normally assume that associate professors will devote 20% of their workload to service.

Associate professors should continue to serve their departments as they did when they were assistant professors and should expand their service by assuming a significant departmental position, e.g., member of the Committee on Appointments and Promotions (CAP), member or chairperson of a search committee, Director of Undergraduate Studies, or Director of Graduate Studies. At this point in an academic career it is expected that faculty members will also extend their service contributions to the College and University. A minimal service load for an associate professor would be two significant departmental or center responsibilities and one College or University committee. The number of specific commitments could and should vary depending on the workload for each duty; however, the rule of thumb should be that an associate professor will have approximately twice the service obligations of an assistant professor.
At this stage, it is assumed that faculty members will begin to assume some leadership roles in professional societies or editorial boards. National visibility is an important consideration for promotion to full professor and can be enhanced by national service.

It remains imperative for department chairpersons to monitor the service work of associate professors and to protect their time so that they can progress toward promotion. It is important for department chairpersons and directors of institutes, centers, and programs to avoid doubling the service obligations for associate professors who have standing in both units. The total load between the two units should not exceed the load recommended for an associate professor in a department.

**Full Professors and Endowed Chairs**

For promotion to full professor, the College looks for some College or University service, some professional service, and promise for even greater leadership. Faculty members at the rank of full or endowed professor should set the example for the rest of the faculty and serve as spokespersons for advancement and progress in all areas. They should also be active in many of the less formal ways expected of senior leaders, as mentors to junior faculty members and as substantial contributors to the collegial atmosphere.

The difference between the service expectations for full professors and endowed chairs, on the one hand, and associate professors, on the other, is not as much in quantity as in the level of responsibilities within each assignment. The percentage distribution for professors and endowed professors is normally 20%, however we are expecting stronger quality contributions than associate professors in most cases. The percentage should be adjusted upward for those serving in administrative positions.

Some assignments are restricted to full professors: the Full Professor Committee
(FPC) in the department and the Provost’s Advisory Committee (PAC). Ordinarily, department chairperson would hold the rank of full professor.

Full professors and endowed chairs should expand their service to their professional societies in much the same way that they do for their departments, the College, and the University. They should assume leading roles in their professional societies, on editorial boards, and in the organization of conferences.

**Special Professional Faculty (SPF)**

Special Professional Faculty are similarly expected to contribute to the construction and advancement of our intellectual community. Since research is not normally expected as a primary aspect of their responsibilities, the dynamics of service obligations are slightly different than they are for T-TT faculty.

*Instructional SPF*

Instructional SPFs are expected to devote approximately 20% of their workload to service. Rank does not curtail service as strictly as it does for T-TT faculty since the same research expectations do not apply. Rank does, however, often affect eligibility. Assistant SPFs are expected to contribute to their departments. While there is no restriction (other than the guidelines of specific committees) for them to serve on College and University-wide committees, the College urges assistant SPFs to devote their greatest energy to their teaching and to service responsibilities connected to teaching. Since many instructional SPFs are members of language and literature departments, it is expected that they will make contributions to the administration and, where relevant, support of language learning in their own department and, perhaps, in the College more generally. In many cases, the SPF will contribute to extracurricular learning opportunities for students, though their contributions in these areas do not release T-TT faculty from contributing to this mission as well. Associate and full SPF should expand their roles by accepting leadership positions. As with their T-TT counterparts, faculty in the senior ranks should provide the leadership within the College. They may do so through roles of greater responsibility in their department and through
service to the College and University.

**Administrative SPF**
Administrative SPF are principally employed to support the academic programs of the College. They should still contribute to the collective welfare of their unit and the College by serving beyond their specific administrative role. It is generally expected that this will constitute about 10% to 20% of their workload. The nature of the roles that they assume should expand as they move through the ranks, with the assumption that they will take on more significant roles as they advance through the ranks.

**Visitors**
Visiting faculty members may be assigned service responsibilities, depending on the person’s position description. The service contributions will ordinarily relate to the visitor’s teaching or administrative responsibilities.

### 1.6 Leaves

#### 1.6.1. Leave Applications

The College of Arts and Letters currently grants research leaves within the guidelines stipulated by the *Academic Articles* (III.11). Teaching-and-research (T-TT) faculty are encouraged to apply for research leaves on a regular basis.

Every faculty member who intends to go on leave in the following year must file a leave application with the chairperson of the department. This is true whether the leave is a result of a contractual agreement, renewal, administrative service, or a proposed research leave. We strongly recommend that faculty within subareas of departments confer with one another on a regular basis to plan for course coverage.

**NOTE:** Faculty in their terminal year are not eligible for a leave.
A complete leave checklist is found at Form L checklist.

All research leaves must have a competitive proposal and at least two applications for external funding to cover salary. **Applications to University Institutes or Programs** (e.g. the Notre Dame Institute for Advanced Study, the Kroc Institute, or the Kellogg Institute) are **not considered applications for external funding**.

**NOTE**: Leave applications that do not include at least two applications for external funding or meet the other policies listed above are routinely denied.

Faculty members should consult with the department chairperson and with ISLA before submitting a leave application or applying for external funding.

**1.6.2. Leave Deadlines**

Leave application requests for 2017-2018 are due in chairpersons’ offices on September 9, 2016 and should be forwarded by the department to the divisional Associate Dean by October 14, 2016. Check with your departmental administrative assistant for the most up-to-date leave form and checklist.

**1.6.3. Leaves for Assistant Professors**

Assistant professors whose contracts are renewed for a second term will normally receive either a one-semester paid leave or a full year at half salary during their second probationary period. Assistant professors may choose between a one-semester paid leave or a full year at half-salary. They must, however, follow the same procedures as anyone else applying for leave (including the submission of at least two major external funding proposals). Assistant professors who win a significant grant (see below) will receive a full year’s leave at full salary and the leave will not count as a University-supported leave (see below).

Assistant professors who receive significant outside funding for a leave before renewal remain eligible to apply for either a second externally supported leave or a University-funded leave during their second probationary period. However, faculty members are not permitted to take a University-funded leave immediately following
an externally-funded leave. They must return to the University for at least two semesters of full-time teaching before assuming a University-funded or a second externally-funded leave. Except in very unusual circumstances, external grants may not be combined with a University-supported leave in order to extend the leave period beyond a year. Assistant professors are strongly advised to consider the importance of developing a successful and substantive teaching record at Notre Dame prior to tenure review in planning research leaves.

**Post-tenure leaves:**

If an assistant professor wins a major external fellowship or two course buyouts for his or her guaranteed leave in the second probationary period, he/she remains eligible for a post-tenure leave after promotion to the rank of associate professor with tenure. To be eligible, a faculty member must apply to a minimum of two funding agencies for major grants and have a viable research project. In addition, he or she must have taught for at least four semesters following any previous leave. Following this post-tenure leave, the faculty member will be eligible for a University-supported leave after every ten semesters of teaching.

If an assistant professor does not win a major fellowship or two course buyouts to support their guaranteed post-renewal leave, he or she is eligible for a second University supported leave after ten semesters of teaching, e.g., if a member of the faculty takes a leave in the fourth year, he or she would be eligible for a University supported leave in their tenth year.

**1.6.4. Leaves for Tenured Faculty**

Notre Dame T-TT faculty members will be considered for University-funded leaves if they submit a strongly competitive proposal to take a research leave after ten or more semesters of teaching since their most recent University-funded leave. Only under exceptional circumstances will University-funded leaves be granted sooner than after six semesters of teaching at the University or sooner than after ten semesters of teaching since the previous University-funded leave. These applications must also be accompanied by two applications for external support.
An externally-supported leave does not count against the ten semester clock for a University-funded leave. For example, if a tenured faculty member receives a major fellowship after six semesters of teaching since the previous leave, the ten semesters of teaching that are expected before the next University-funded leave would include the six semesters before the faculty member obtained outside funding. This means that after four additional semesters of teaching, the faculty member is eligible for a University-supported leave. In this way, a faculty member who wins a major grant can enjoy two supported research leaves in a seven-year period, alternating between a leave funded by a fellowship (and supplemented by the University) and a leave funded directly by the University. An internally funded grant (e.g. as awarded by a University Institute such as the Kroc Institute or the Institute for Advanced Study) of $30,000 or more will normally be supplemented to allow for a full year of leave. However, leaves in these cases are considered University-funded leaves.

Faculty members are normally not permitted to take a University-funded leave immediately following an externally-funded leave or to take a leave supported by an external source immediately after a leave funded by the University or another external agency. Faculty are normally expected to return to full-time teaching at the University for at least four semesters before executing any other leave. Exceptions are only permitted under special circumstance and must be approved by the Dean of the College.

1.6.5. Leaves for Associate and Full Professors Who Have Recently Joined the Faculty

Associate and full professors who have recently joined the University are eligible for an initial University-funded leave after six or more semesters of teaching at Notre Dame, unless a course reduction or leave of some kind had already been part of the faculty member’s negotiations upon joining the University. As is true with all other research leaves, this requires a solid research project and two external grant applications.
1.6.6. Extended Leaves for Multiple Grants

Some faculty members win multiple major, externally funded grants in a single competition cycle. In such cases, the College will permit a member of the faculty to extend a full year leave at full salary to 18 months, provided that one of the funding agencies will permit the faculty member to stagger the award and receive it in the second year. So, for example, if a faculty member won both an ACLS and a NEH, he or she might accept the ACLS for August-May and the NEH for January-December. The funding from both agencies must remain intact in order for faculty to qualify for this special arrangement. These extensions are considered exceptions to the standard policy and require the approval of the department chairperson and the Associate Dean for the faculty member’s division. Exceptions will not be granted if the proposal to fund an extension of the leave was submitted after an award notification has already been received for the first year of leave.

Faculty who receive 18 months of leave must return to the University of Notre Dame for 18 months or repay all of the University contributions during their leave. It is important that the faculty member ensure that the funding agencies approve of such an arrangement in advance.

1.6.7. Administrative Leaves

Department chairpersons, deans and associate deans who serve for a full three-year term are eligible for a one-semester administrative leave after their term expires or a full-year paid leave at the conclusion of two terms. Administrators may not accumulate more than two semesters of leave time without explicit written permission from the Dean or the Provost. In those rare cases where more than two semesters have been collected and approved, normally no more than two semesters may be taken in sequence.

Earned administrative leaves are considered separate from the normal ten semester requirement for T-TT faculty. A chairperson may not double count the time served as chairperson as time served as a member of the T-TT faculty. For
example, if a chairperson taught for four semesters after a University-supported leave before becoming the chairperson of a department and then served two three-year terms as chairperson, the chairperson would have two semesters of administrative leave and four semesters of the required ten for a routine University-supported leave, but could not count the six years of administrative service towards the ten semester teaching requirement.

Administrative leave applications do not require applications for outside funding. However, administrators returning to the faculty are strongly encouraged to explore available sources of research funding.

1.6.8. Salary Award Targets for Externally-Supported Leaves

Salary award targets for externally funded leaves are $30,000-$40,000 for assistant and associate professors and $50,000 for full professors. The targets are minimum levels for salary and benefits in most cases (if the funding agency does not cover benefits, the full amount is applied to salary.) Direct costs (research materials, travel, staff or student wages, etc.) do not count toward the target. In the case of a grant that meets the salary targets defined for each rank, the University will normally supplement the faculty member’s stipend to provide a full year leave at full salary. If a faculty member receives a grant for substantially less than the target amount, the Dean will consider granting the full year’s leave at full pay, but if the leave is granted, it will count as a University-supported leave.

If an assistant professor is eligible for a leave after renewal and receives a major grant with substantial indirect cost recoveries (F&A) for the College from a source that does not cover academic year salaries, the indirect costs may be used to meet the salary award target. Requests to apply indirect costs to the leave salary target will be considered by the Associate Dean for Research on a case by case basis.

1.6.9. Leaves for Faculty with Course Buyouts

Some faculty may win grants whose budgets explicitly provide salary support that is paid to the College in exchange for a reduction in the normal number of courses taught (course buyouts). The College treats course buyouts as equivalent to
fellowships for the purposes of determining leave eligibility. In other words, if a faculty member receives a grant (or combination of grants) that provides externally funded course buy-outs for at least two classes within a single academic year and the amount provided meets or exceeds the thresholds specified in 1.6.8, then the faculty member can instead be awarded a full-year of leave at full salary, subject to the policies and considerations discussed herein (see especially sections 1.6.5 and 1.6.8). These leaves are not treated as University-supported leaves.

1.6.10. Leave Application Process

Chairpersons should forward leave applications with a cover letter explaining the nature of the requests [contractual, administrative, eligible for University supported leaves, and not eligible for University supported leaves (i.e., early)] to the associate dean for their division. In addition to indicating whether each application for research leave warrants support on its merits, the chair should explain how departmental and mentoring obligations will be covered (with existing faculty) should all the leaves submitted (including contractual and administrative leaves) be approved. If more than one faculty member from the same area of specialization requests a leave in the same year, it may be necessary to recommend against one or more applications for that year.

Final decisions on leave requests are made by the Provost and the President upon recommendation of the divisional associate deans. Faculty members who receive major external fellowships to underwrite sabbatical-year salary will normally receive approval for a leave.

Unpaid leaves are generally discouraged, but faculty members in good standing may request an unpaid leave of absence, especially to conduct research. Under normal circumstances, a faculty member may take no more than two semesters of unpaid leave during a five-year period. Exceptions are only permitted under special circumstance and must be approved by the appropriate divisional associate dean.
1.6.11. Leave Approval Process

For faculty who are eligible for a one semester University-supported leave (time or contractual), you will receive an approval letter from the respective associate dean, with an official approval letter coming from the Provost’s office in mid-May. For faculty who are eligible for a one semester University-supported leave (time or contractual), and who ask for a full year or calendar year if external funding is received, the respective divisional associate dean will approve the leave for one semester with the understanding that should external funding be secured, their request for a full year will be approved by mid-May with the official letter coming from the Provost’s office. If external funding is received, it is the faculty member’s responsibility to notify their department chair and the divisional associate dean.

Faculty members under review for renewal who have applied for a leave will be notified after renewal decisions are announced. In cases where renewal is denied, the leave application will be denied.

1.6.12. Leave Obligations

In accepting a sabbatical leave, faculty members agree to adhere to the University’s Conflict of Commitment Policy during the period of the leave.

Further, they agree, as outlined on form L, to return to the University for a full academic year on completion of the leave. If they do not, they are obligated to repay the University the cost of their salary and/or benefits including the amount of contribution to the 403(b) plan and premiums for health insurance for the previous year that the University supplied during the leave. In the case of an 18-month leave, the faculty member is required to return for 18 months as stated above or is liable for the same expenditures over the 18 months.

1.6.13. Leave Reports

At the termination of the leave, and no later than three months after returning to the University, the faculty member will submit a Leave of Absence Final Form to the Office of the Provost. A copy should be sent to the associate dean for his/her
division. Copies of LOA Final Form can be obtained from the Office of the Provost.

1.6.14. **Course Reductions and Leaves**

If a member of the faculty has a course reduction and takes a one-semester leave, the course reduction is counted during the semester the faculty member is on leave. (For example, if a faculty member has a course reduction for editorial work on a journal and goes on a University-supported leave in the Fall semester, she will offer two courses in the Spring semester.) Course reductions do not roll forward from one year to the next as a result of a leave.

1.6.15. **Leave Funding**

Funding agencies often route awards directly to the University of Notre Dame. The faculty member receives her or his normal paycheck and benefits from the University. Faculty members should contact ISLA immediately upon notification of an external grant for assistance in finalizing budget paperwork and setting up accounts.

In cases where the awarding agency prefers to pay the faculty member directly, the faculty member should contact ISLA to arrange for continuation of salary and benefits. In some cases the College will reduce the faculty member’s salary and benefit contributions equal to the amount of the external award. We recommend that the faculty member also consult the University Tax Director for personal income tax issues related to external funds not paid directly to the University. The Tax Director is familiar with the IRS requirements and has worked with many faculty members regarding these fellowships.

1.6.16. **Leaves to Teach at Another Institution**

Under normal circumstances, we discourage leaves to teach at another institution. Exceptions to this principle include prestigious fellowships or lectureships that would clearly advance a faculty member’s career or an invitation to teach in a graduate program for faculty in departments without graduate programs. We do not normally grant permission to teach at an institution that is ranked lower than
Notre Dame. It is expected that the host institution will be responsible for salary and benefits. Ordinarily, requests for leave to accept a visiting appointment during the following academic year must be submitted to the Dean’s Office no later than March 1.

1.6.17. Leaves to Consider Another Position
Leaves to consider another position are not ordinarily approved. Exceptions are determined individually.

1.6.18. FMLA and Notre Dame Medical Leaves
The university provides the benefits of the federally legislated Family Medical Leave Act (FMLA) to faculty for the care of their own serious health condition or to care for the serious health condition of a spouse, child or parent. FMLA allows up to 12 weeks of unpaid leave in a twelve month period. The university calculates the FMLA benefit on a rolling calendar. Full-time regular faculty are eligible for paid medical leave for their own serious medical condition under the University benefit policy. Faculty needing leave under FMLA should contact Human Resources at 631-5900. More information about FMLA benefit is available at FMLA policy.

*Maternity –Related Teaching Relief:*

A faculty member whose due date for the birth of her child is any time during the semester is relieved from all teaching responsibilities during that semester. Contact the Associate Dean for Faculty Affairs to request teaching relief. When a faculty member’s due date falls outside of a semester, she should contact the Associate Dean for Faculty Affairs regarding whether she will be relieved from teaching responsibilities. Any faculty member relieved of teaching responsibilities under this policy may be assigned other service and administrative responsibilities during the period when the faculty member is not on family and medical leave but is relieved from teaching.

Faculty members who take family and medical leave for reasons unrelated to childbearing should contact the Office of the Provost regarding whether they will
be relieved from teaching responsibilities during those portions of a semester that they are not on family and medical leave.

**Primary Caregiver Extension**

As specified in the Faculty Handbook, the probationary period of an untenured member of the teaching and research faculty is extended one year in connection with the arrival of the faculty member’s newborn or adopted child if: (1) the faculty member, preferably before the child’s arrival but no later than six months after arrival, elects such an extension by notifying the departmental chairperson, in writing, that the faculty member intends to act as the child’s primary caregiver during the year following the child’s arrival and (2) the faculty member acts as the primary caregiver during the year following the child’s arrival.

Faculty members who become eligible to take a primary caregiver extension during their first three-year appointment may elect to apply the extension to their first three-year appointment or they may defer such extension and, if reappointed, apply it to the second three-year appointment period. Nothing in this policy entitles a faculty member to any reappointment and, when a faculty member chooses to defer the extension until the second three-year appointment but is not reappointed, the extension is lost. In no event are the probationary periods specified in article III, section 5(a) increased under this policy or any other policy more than a total of two years.

**Graduate Students**

As of Fall 2006, the University policy allows graduate students to take temporary leave from their academic duties for medical reasons, including child birth. Students are eligible for up to six weeks of leave for “serious medical conditions,” including child birth or other medical situations which lead to multiple days of hospitalization or a minimum of ten calendar days of inability to work.

Information about this policy is available at http://gradlife.nd.edu/.
1.7 Administrative Appointments, Compensation, and Course Releases

1.7.1 Compensation and Course Releases

The College recognizes the important administrative and service work that faculty members perform when appointed to leadership positions in departments and programs. In certain cases, the College permits course reductions to provide faculty with relief time from teaching to assume administrative or editorial responsibilities. In other cases, the College will allot research stipends or other forms of compensation. All course reductions or other forms of administrative compensation, for tenure-track as well as special professional faculty, require the approval of the Dean or divisional associate dean. Please note that semesters with zero course offerings are not permitted; faculty members with course reductions must teach at least one course per semester.

1.7.2 Department Chairpersons

Department chairpersons are appointed by the Dean after consultation with the Department and the Provost; they serve at the discretion of the Dean. A chairperson normally has a three-year appointment that is renewable. Department chairpersons receive a two-course per year teaching reduction, though chairpersons who already have a contractual reduction would normally not teach less than a 1:1 schedule.

1.7.3 Principles For Appointments In Departments And Programs

The following procedures should be followed in making departmental or College-wide administrative appointments for faculty:

- A letter of appointment by the chairperson for departmental appointments or by an associate dean for College-wide appointments;

- A fixed term for the appointment (normally a three-year term with no more than two consecutive terms)

For a sample appointment letter, please see DUS/DGS appointment letter.

SPF faculty have term limits that are defined by their contract and regulated by
their rank. Guidelines for their appointments should follow the standard procedures for SPFs and include a description of their responsibilities. In order for someone to be an SPF in an administrative role (e.g., DUS), the faculty member must also teach. If a person does not teach, he or she should be appointed as a member of the staff. The standard teaching schedule for SPF in administrative positions should be a 1:1 or a 2:2, depending on the nature of their responsibilities.

1.7.4. Directors of Undergraduate Study (DUS)

In some small departments or programs, the department chairperson or director serves as the DUS; in some smaller departments as well as in some moderate-to-large departments or programs, a T-TT faculty member serves as the DUS; and in some moderate-to-large departments or programs, a SPF serves as the DUS.

- It is reasonable for a department chairperson to serve as the DUS when there are fewer than 15 faculty in the department or fewer than 50 majors/minors.

- The DUS in a department or program with fewer than 100 majors/minors should consider the advising to be part of his or her regular service obligation. This heavy service obligation should be taken into account when making committee assignments and when reviewing the faculty member for annual raises.

- The DUS in a department or program with 100-250 majors/minors should receive a one-course reduction.

- The DUS in a department or program with more than 250 majors/minors should have a two-course reduction. **At no time should the teaching schedule be reduced to 0 in any one semester.**

If a unit has a large number of non-majors/minors that create a substantial amount of work for the DUS, the unit may appeal to the respective divisional Associate Dean for special consideration.
1.7.5. **Directors of Graduate Studies (DGS)**

Only T-TT faculty may serve as DGS.

- The DGS in a department or program with fewer than 20 graduate students should consider their role to be part of the regular service obligation. This heavy service should be taken into account when making committee assignments and at the time of annual salary review.

- The DGS in a department or program with 20-50 graduate students should receive a one-course reduction.

- The DGS in a department or program with more than 50 graduate students should receive a two-course reduction. **At no time should the teaching schedule be reduced to 0 in any one semester.**

1.7.6. **Directors of Interdisciplinary Minors**

- Directors of new interdisciplinary minors should be supported for a minimum of four years with an annual research stipend of $3,000 and an annual working fund for the program of $1,000. The four-year commitment represents the College’s support for creative interdisciplinary programs. It is intended to allow for innovation without making a permanent commitment. The program should be reviewed at the end of the four years.

- If a program is continued after four years but serves fewer than 20 students, the level of support will change. Directors of programs that fail to demonstrate a sustained trajectory after four years and have fewer than 20 students will have the research stipend reduced to $1,500 per year and the working fund reduced to $500. If the number of students is fewer than 10, the research stipend will be $1,000 per year and the annual working fund $250.

- Programs that fail to create and sustain interest among the undergraduates will reviewed by the Undergraduate Studies Committee or the College Council and may be discontinued.
• Directors of programs that fall below the guidelines noted above but are vital for the educational enterprise of the College or whose directors are exceptionally active may appeal to the Associate Dean of Undergraduate Studies for special consideration.

• Course reductions for interdisciplinary minors should follow the guidelines above for Directors of Undergraduate Studies.

1.7.7. **Directors of Institutes, Programs, and Centers**
Currently, the standard compensation for a director of such a unit is a $5,000 research stipend or a one-course reduction. In a few instances, both may be appropriate.

1.7.8. **Editors**
The Associate Dean for Research reviews applications for College support of faculty who serve as editors of journals.

1.7.9 **Grants**
The College provides course-release for grants that meet the following thresholds:

- Total grant must be at least $300k.
- The grant period must be no more than 3 years @$300k. If the grant period is longer, then the total grant amount required must be increased by the same fraction. In other words, 4 years requires $400k, etc. Note that 1, 2, or 3 years require $300k.
- The grant award must include at least $50k in indirect funds.
- If these thresholds are met, a one-course release will be granted to the PI team, which can be taken by one of the PIs on any year of the grant. By doing so, the PI cannot reduce his or her teaching load below 1-1 for that Academic Year. If the course release cannot be taken during the grant period for this reason or any other, it cannot be “banked”, i.e., it cannot be used outside of the grant period and if forfeited. The course release is tied to the specific grant project/PI and cannot be transferred or converted into any other kind of support.
• This program is available only to grants submitted starting July 1, 2010. It cannot be retroactively applied to current or pending support.

• To receive this supplementary support, PIs must appeal to the Associate Dean for Research and receive approval before the grant is submitted. The course release must be indicated as College-level cost-sharing in the grant proposal.

• Multiple course releases based on multiples of the above thresholds (for example, two course releases for 2 PIs winning $600 on a 3-year grant with $100k in indirects) will be considered on an ad hoc basis by Associate Dean for Research.

These guidelines will be adjusted from time-to-time to reflect the necessary levels of incentives and support.

1.8 Civility & Responsibility

All colleagues are expected to contribute to the livelihood of campus life and accommodate their schedules to meet the demands of the curriculum, students, and fellow colleagues. Tenured and tenure-track faculty are reminded that participation in Commencement is a requirement of their contract. Professional standards of conduct are expected of all faculty members in interactions with students, colleagues and staff. Breeches of professional standards of conduct should be addressed directly. If a behavior problem cannot be resolved at the departmental level, it should be brought to the attention of the Associate Dean for Faculty Affairs (for faculty) or the Senior Director, Finance and Administration (for staff). The Dean’s Office may consult with the Provost’s Office or Human Resources.

1.9 Drug and Alcohol Policy

Guidelines concerning the use of alcohol and drugs can be found in the Faculty Handbook at Drug and Alcohol policy. Any event involving alcohol with students (including graduate students and prospective graduate students) has to be approved in advance by the Vice President and Associate Provost, Hugh Page. No reimbursements will be approved for the purchase of alcohol without prior approval from the Office of
the Provost.

1.10 Commencement

1.10.1. Commencement Exercises

Attendance at the College Diploma Ceremony and University Commencement Exercises is considered a professional responsibility for faculty members in the College of Arts and Letters.

1.10.2 Departmental Commencement Ceremonies

In addition to the University graduation ceremony, every department should sponsor a graduation event for their graduates, ideally including a brief ceremony that recognizes each student. Well-orchestrated and meaningful departmental celebrations are greatly appreciated by students and their families.

PART TWO: UNDERGRADUATE STUDENTS AND TEACHING

2.1 Advising

2.1.1 The Strategies and Structures of Advising

Advising in the College of Arts and Letters is a two-tiered process involving both the department and the College. Departmental advisors handle issues related to their discipline; other questions are directed to the assistant deans in the Office for Undergraduate Studies.

The Undergraduate Advising Office uses a cohort system for advising, based primarily on last names, as follows:

- A-E – Dean Collin Meissner
- F-K – Dean Nicholas Russo
- L-Q – Dean Ava Preacher
- R-Z – Dean Joseph Stanfiel
- Pre-health and Neuroscience and Behavior – Dean Vicki Toumayan

The heart and soul of disciplinary advising occurs at the departmental level. Timely and accurate information is of the essence. Departments and programs
employ various advising models. Some have a centralized system with a primary
director of undergraduate studies who is responsible for advising students. Others
have a combination advising model, with both a director of undergraduate studies
(DUS) who will advise most students in the major, as well as assigned faculty
advisors who advise a limited number of students. One or two departments have
faculty advisors only. Our feedback from students indicates that the model with
which the students express the most satisfaction is a centralized advising model.
However, all colleagues are responsible for the most important aspect of advising:
the development and mentoring of our students. The entire department must work
to cultivate an atmosphere in which students feel welcome and are nurtured and
challenged—both inside and outside the classroom.

Departments should encourage exchanges between faculty and students outside
the classroom. Every department should have at least one intellectual event per
semester that is orchestrated either primarily or exclusively for undergraduate
students. Moreover, faculty should be encouraged to establish mentoring
relationships with students that facilitate opportunities for undergraduate
research that are discipline-specific.

2.1.2 Welcoming Students / Making Basic Information Available
There are a number of practices that academic units should follow to make sure
that students understand the requirements of the program and sense a welcome
environment. Every unit should have at least one paragraph on advising posted on
its Webpage that covers the basic procedures, the primary contact person, and the
office hours of that person.

Each departmental or program office or lounge should post on its bulletin board
for prospective majors the name and office hours of its primary undergraduate
advisor or contact person.

Every unit should have some kind of orientation for new and prospective
majors—a handbook, a large meeting, or a set of smaller meetings in order to
introduce students to departmental procedures, the department’s mission,
opportunities within the major, and the rationale for the major.
2.1.3 Community Atmosphere

In addition to an event for intellectual exchange each semester, each department should have at least one event per year that brings together students on a social basis. It is a good idea to combine the two whenever possible. Possibilities include:

- a special Mass followed by a reception
- a post-lecture or post-film reception
- a picnic
- a pizza party
- an outing
- an annual awards ceremony
- a reception during junior parents weekend

2.1.4 Enhancing the Undergraduate Experience

There are a number of other department strategies for enhancing the experience of undergraduate students:

- regular mailings to majors, electronic newsletters, listservs
- annual fall welcoming letters reminding students who their advisor is for the year
- mailboxes for majors in small departments and programs
- personalized letters inviting students to major in a specific field that outline the benefits and opportunities of the major (ideal for majors with low enrollment)
- elevation of disciplinary clubs by linking them to disciplinary honors societies
- student membership on various departmental committees
- language tables
- cultivating a robust senior thesis culture
- an annual departmental symposium in which students present the results of their advanced research
- more opportunities for interaction between undergraduate and graduate students
2.1.5 Undergraduate Code of Honor and Honesty Violation Procedures

Faculty and students alike are obligated to adhere to the University’s Undergraduate Code of Honor. If you suspect an undergraduate student of engaging in cheating of any sort, you may discuss the matter with the student. Should the student admit that there has been an Honor Code violation, and should you and the student agree upon an appropriate sanction, the matter can be settled by your submitting to the Provost’s Office an Honor Code Violation Report, which is the only way (outside of formal hearings) for the University to detect students who cheat repeatedly. Our procedures require that all other cases of suspected honor code violations be investigated and adjudicated by Honesty Committees – i.e., by faculty and students in the College in which the relevant course was taught.

The Honor Code is intentionally not explicit on the issue of collaboration because we all realize that the degree and kind of acceptable collaboration might vary from course to course and, indeed, from assignment to assignment. Therefore, it is up to each professor to determine in advance what constitutes acceptable collaboration and to articulate these expectations clearly, either on syllabi or assignment sheets.

Please remember that our Honor Code obligates all faculty and staff to maintain full confidentiality regarding all cases – before, during, and after hearings – and you are required not to divulge the names of students involved in cases of alleged academic impropriety to anyone other than the AL committee chair. It is inappropriate to discuss particular cases with your department chair, department DUS, the student’s academic advising dean, or any other administrator or faculty member.

Abundant information regarding our Honor Code can be found at http://honorcode.nd.edu/. If you have questions regarding these procedures,
please contact the University’s Faculty Honor Code Officer, Prof. Patrick Murphy (pmurphy1@nd.edu) or the Chair of the Arts and Letters Honesty Committee, Curtis Franks (cfranks@nd.edu). The AL committee for 2016-17 will also include Mary Keys, Jennifer Warlick, and Susan Ohmer.

2.1.6. College Initiatives
The College has undertaken a number of initiatives in recent years to provide students with enrichment opportunities:

- Undergraduate fora focusing on undergraduate research opportunities.
- Post-graduate advising through the Office for Undergraduate Studies.
- The addition of informal collegial space as part of the College’s overall space planning.

2.1.7. Guidelines for the Sponsorship of Student Internships
The University of Notre Dame is a Catholic community of higher learning dedicated to the pursuit and sharing of truth for its own sake. As a Catholic university, Notre Dame aims to provide a forum where the Catholic intellectual tradition intersects and engages all forms of knowledge found in the arts, sciences, and professions. The University’s distinctive educational and religious mission includes creating “a sense of human solidarity and concern for the common good that will bear fruit as learning becomes service to justice.” In advancing its mission, Notre Dame supports those organizations whose mission is compatible with ours and ensures that University resources are not used to directly support or promote activities that are contrary to Church teaching. In complex cases, we use the Principle of Cooperation to discern what forms of collaboration are appropriate with groups or organizations who may share our concern for the common good but do not share our religious and moral commitments.

Internships can support this mission, in part, by providing students opportunities to explore professional vocations while gaining hands-on experience that joins classroom learning to career development. Notre Dame encourages students to pursue opportunities that not only contribute to professional growth but also allow them to see more fully how their own education will “become
service to justice.” In keeping with University policies and practices, support for or sponsorship of internships should be consistent with our religious and educational mission. [http://al.nd.edu/advising/academic-policies/internship-credit/](http://al.nd.edu/advising/academic-policies/internship-credit/)

The College of Arts and Letters does not award academic credit for the internship experience alone. However, students may earn academic credit through the satisfactory completion of academic work done in conjunction with the internship. Further details about academic credit can be found in the College’s Guidelines for Internship Approval.

Consistent with the Principle of Subsidiarity, departments and academic programs usually will be best situated to evaluate specific internships and specific organizations offering internships in light of the University’s Catholic mission. The dean of the College of Arts and Letters, however, retains final responsibility to ensure that sponsorship in a given case is appropriate.

Several factors should be considered in any decision to facilitate, sponsor, or provide financial support for internships that contribute to institutions or organizations whose primary mission is contrary to Catholic teaching: the degree of involvement with or promotion of the activity that is contrary to Church teaching, the moral gravity of the activity itself, the good at stake, and the availability of alternatives. In general, the decision to facilitate, sponsor, or fund a questionable internship will depend on the degree of separation of the student’s work from the activity that is contrary to Church teaching. The more removed the student’s work is from the problematic activity, the less problematic is the internship from the perspective of Notre Dame’s Catholic mission. For example, when a student works on a project or in a unit of an organization that is distinct from projects or units that perform or promote activities contrary to Church teaching, it may be appropriate for the University to facilitate, sponsor, or fund the internship. By contrast, when the student’s work participates in an activity contrary to Church teaching or directly and significantly contributes to that activity, it would be inappropriate for the University to sponsor or fund the internship. In all cases, but particularly in morally complex or controversial
cases, our primary obligation is to retain the integrity of the University’s mission. Department chairpersons and program directors are encouraged to contact the Office of the Dean with any questions concerning the application of these guidelines in particular cases. Internships that are not sponsored, facilitated or funded by the College may be listed on department or program websites. However, there should be a clear statement indicating that listing internships does not constitute an endorsement of the mission or activities of these organizations by the department, program or University.

2.2 Cultivating a Community of Learning

2.2.1. Dialogue-Intensive Courses
The College Council recommended an increase in classes that provide students with opportunities to improve their verbal articulation, to defend ideas with facts/theories, and to create model courses that foster the fruitful exchange of diverse opinions. Courses of this type might include multiple formats, such as regular student-led seminars; periodic debates, especially ones in which students are assigned a position to defend; oral examinations; group assignments, or assignments that involve oral skills, such as the use of interviews to collect evidence. The College Seminar (www.nd.edu/~csem) is dialogue-intensive. The Kaneb Center is a good resource for developing these courses, specifically as it relates to identifying strategies and resources for encouraging students to speak in class.

2.2.2. Teaching Beyond The Classroom Grants
Teaching Beyond the Classroom grants are available to faculty who wish to enrich student learning by inviting all students in a class to participate in a local or regional cultural excursion or by arranging for a cultural or intellectual event to take place on campus. Examples of these activities include taking students to a play, concert, exhibit or other cultural activity located on campus, in the South Bend community, or within a relatively short distance from campus, inviting a guest lecturer to speak primarily to undergraduate students (within a class or a specific department), inviting undergraduates to accompany a faculty member to
an academic conference, or organizing a department-wide event (such as a cultural festival). Faculty may request up to $1500 per year for TBC grants for their own classes; this amount may be divided among the professor’s classes over the course of the academic year. Additionally, Directors of Undergraduate Studies or others charged with arranging departmental events may request further funding for support of programs not affiliated with an individual class. TBC grants are administered by the Office for Undergraduate Studies. Further information is available at: http://al.nd.edu/assets/73879.

2.2.3. Documenting Undergraduate Research

Beginning with 2004-2005, the College has asked department chairpersons to keep a record of those majors and minors within their units who are engaged in substantial undergraduate research projects. In Fall 2004, the College Council endorsed a twofold model of research for the purposes of tracking undergraduate research.

The first model is independent original scholarship or creative work. This will typically consist of a capstone project, but may also include the presentation of a paper or the submission of an article to a refereed publication. The following are some specific examples:

- senior or honors theses;
- articles (as the principal or co-author) submitted to publications with a blind or independent review process;
- papers delivered at disciplinary conferences;
- artistic products such as cinematic features, documentaries, musical scores, photographic collections, or other works of art that represent a capstone project;
- creative works that are exhibited outside of Notre Dame.

The second model is hands-on involvement in a scholarly project or creative work. Examples would include:

- experimental research projects undertaken with or without supervision of faculty members at Notre Dame or elsewhere;
- fieldwork involving observation, participation, inquiry, and a
substantive written presentation of original findings that exceed standard course work assignments;

- active participation in research projects involving the gathering and analysis of primary artifacts, e.g., archaeological research;
- the gathering of ethnological data and their presentation in a generally accepted disciplinary medium, e.g., ethnography, film, article, poetry, etc.;
- an internship where a student is actively involved in the creation of art;
- an internship or participation in an external agency engaged in a large-scale research project.

Standard course work and the requirements for it are not acceptable for these purposes. Capstone projects are an exception.

2.2.4. Faculty Dining with Students – Table Talk

Learning is deepened when students develop an intellectual relationship with their professors. In order to encourage more faculty-student interaction outside the classroom, the College funds meal tickets that can be used by faculty members when dining with students in the student dining halls. Tickets are available in the Office for Undergraduate Studies. Please encourage your faculty to take advantage of this opportunity. Some of the most effective teachers in the College make it a practice to sit at a table once a week and eat with students.

Funds are also available in the Office for Undergraduate Studies for faculty members who would like to host students in their homes. Reimbursements range from $150 to $350, depending on the size of the class. Receipts are necessary for reimbursement. Details are available from the Office for Undergraduate Studies. Further information may be found at http://al.nd.edu/advising/special-opportunities/faculty-resources/table-talk/

2.2.5 Bridging Academic and Residential Life

We welcome requests to hold classes in residence halls or for occasional
evening classes. Evening classes must be electives or courses, such as the College Seminar, that have multiple sections. Evening courses must be approved by the Associate Dean for Undergraduate Studies.

2.2.6 Undergraduate Research Opportunity Program (UROP)
ISLA’s Undergraduate Research Opportunity Program (UROP) enhances undergraduate education by providing financial support to students who wish to engage in independent research, do creative projects, or present their research at conferences. Students may design projects independently or propose a project related to some aspect of a faculty member’s research. In either case, a faculty member must endorse the proposal and supervise the project. (Detailed information is found later in this document at 4.3.3.)

2.2.7 Post-Graduate Opportunities
Assistant Dean Vicki Toumayan serves as the College’s advisor for AL students taking pre-health courses, while Dean Ava Preacher is the University’s pre-law advisor. Additionally, all Assistant Deans are happy to discuss graduate school advising in conjunction with departmental advisors. Departments are encouraged to provide opportunities for students to learn about graduate study in the discipline of their major, e.g. by inviting graduate students to meet with undergraduates to talk about the value of pursuing a career in research and teaching. Other departments enable students in their honors tracks to take graduate courses so that they may better understand what the graduate experience is like or encourage students to attend and even present papers at national conferences.

We urge all academic units to encourage students to visit the Center for Undergraduate Scholarly Engagement, housed in 233 Geddes Hall. There are extraordinary opportunities for talented graduates.

2.2.8 The Center For Undergraduate Scholarly Engagement (CUSE)
The Center for Undergraduate Scholarly Engagement (CUSE) aims to encourage and to assist undergraduates and recent baccalaureates with external fellowships. The Center is charged with three tasks: to raise awareness of the intellectual
benefits of scholarship programs and oversee the administration of the application process; to increase the pool of viable candidates for scholarship opportunities; and to coach students through the application and interview process. The Center works in conjunction with other existing programs, such as the First Year of Studies or the Honors Program, to identify the University’s most promising students at an early stage of their education. Once students are identified, the Center will work with faculty to offer mentoring services to maximize the potential of these students for winning awards. We encourage all faculty to work with this office in identifying and mentoring students who are promising candidates for national fellowships. (http://fys.nd.edu/fys-resources/center-for-undergraduate-scholarly-engagement/)

2.2.9 The Departmental Honors in the College of Arts and Letters
The College of Arts and Letters encourages departments to offer students opportunities for more enriching and demanding intellectual experiences. These experiences may result in graduation with honors in a particular discipline. In such cases honors certificates will be prepared for students, and the College will request that the Registrar list graduation with departmental honors on student transcripts.

The College Council has approved the following policy on departmental honors: Departmental honors in the College of Arts and Letters will demand significant accomplishment within the specific unit or discipline. This can be manifested in a variety of ways, but each program should include as a minimum:

A departmental selection process. Departmental selection processes may include, but are not limited to, some combination of the following:

- Assessment of overall academic performance within the University and/or department;
- Minimum GPA—either cumulative or within the major (the minimum GPA could be set either as an entrance or as an exit requirement);
- Departmental invitation;
- Application process.
Appropriate preparatory work. This will be determined at the departmental level and might include, for example, a greater number of writing seminars, a greater number of advanced courses, or enrollment in specific classes not otherwise required for the major—even as the number of credit hours for the major may remain the same. It could also include active participation in departmental colloquia.

A senior thesis or significant capstone project. The capstone essay or project should be above and beyond the normal writing requirements that are mandated by the College. If course credit is given for the thesis, students who meet minimal expectations but who do not satisfy the high expectations of honors, may be given credit and a grade for the course but may be turned down for honors.

Departments are encouraged to consider as part of departmental honors interdisciplinary projects that combine departmental work with a student’s second major, interdisciplinary concentration, area studies program, or other work that can be viewed as enriching the disciplinary orientation.

The recommended time to declare the honors track is the second semester of the junior year.

2.2.10 Ongoing Evaluation

Each unit should have formal or informal strategies of seeking advice from students about their course of study in the major and opportunities for improvement. This form of evaluation may consist of an informal meeting with juniors and seniors, an exit survey, or any other means chosen by the unit.

2.3 Curricular Issues

2.3.1 University Seminars

University Seminars are designed to foster intense interaction between first-year students and faculty in small settings of approximately 18 students where class discussion is the dominant mode of instruction in introducing the paradigms of a given academic discipline. These are writing intensive courses in which students
will write and read simultaneously and continuously throughout the semester. A minimum of 24 pages and at least one rewrite of a corrected paper are expected. Every first-year student must take one University Seminar, and these courses are open only to first-year students. Consequently, University Seminars provide a unique opportunity to showcase the value of a liberal arts education at a pivotal moment when students are choosing their major and their College. Each department in the College of Arts and Letters offers a prescribed number of University Seminars, which will satisfy the university requirement in history, literature, fine arts, social science, or the first course of the requirement in philosophy or theology.

Information concerning University Seminar requirements can be found in the Guide to Undergraduate Teaching in the College of Arts and Letters. 
https://al.nd.edu/assets/208031/guidebook2016.pdf

2.3.2 College Seminar Program
The College Seminar is a unique one-semester course experience shared by all students majoring in the College of Arts and Letters. The course offers students an introduction to the diversity and distinctive focus of Arts and Letters. Information about the College Seminar, including resources for teaching CSEM, is available at www.nd.edu/~csem and in the Guide to Undergraduate Teaching in the College of Arts and Letters  https://al.nd.edu/assets/208031/guidebook2016.pdf

2.3.3 Writing-Intensive Courses
Departments are expected to designate one or more of the major’s courses as writing-intensive courses. For the requirements for a writing-intensive course, see https://al.nd.edu/assets/175006/writing_intensive_courses.pdf or contact the Associate Dean for Undergraduate Studies.

2.3.4 International Study Programs
Since 1964, Notre Dame has made it possible for students to earn credits toward graduation in international study programs. Notre Dame International (NDI) administers over 40 academic-year programs and seven summer programs in 20 countries. Qualified students from the undergraduate colleges can elect to spend a semester or a year abroad in one of our programs. Participation in the programs
is restricted to the sophomore or junior year. Notre Dame students may also apply to Saint Mary’s College programs. NDI also facilitates applications to an approved program in Athens. Information about study abroad opportunities can be found at https://international.nd.edu. Students are encouraged to participate in University programs whenever possible. Limited exceptions, however, are made for students whose academic or programmatic needs cannot be met through existing Notre Dame programs. Students considering such programs should consult Dean Vicki Toumayan in the Office for Undergraduate Studies.

All students going abroad in whatever capacity, need the permission of departmental and collegiate (Dean’s Office) advisors. Those going on Notre Dame programs must be selected by NDI. Students participating in Notre Dame programs are regarded as Notre Dame students. Those who are on non-Notre Dame programs, but who have received the permission of their academic dean, will be given a study leave of absence.

The Office of International Student Services and Activities (OISSA) (https://international.nd.edu/issa) assists with the needs of international students studying at Notre Dame. Copies of the Handbook for International Students and Scholars and Notre Dame, published annually, may be obtained through OISSA.

2.3.5 Faculty Opportunities Abroad

NDI also provides information on teaching and research opportunities abroad for faculty.

2.3.6 Team-Taught Courses

Team-teaching offers rich possibilities for interdisciplinary learning both within and among departments and programs. Team-teaching (on the graduate and undergraduate level) is encouraged under the following guidelines:

Guidelines for Team-Teaching in the College of Arts and Letters:
- Ordinarily, full credit for teaching a course can be shared by no more than two faculty members.
• A course may be offered three times for full credit. After the course has been offered three times, it will be reviewed in consultation with the Dean’s office and a decision will be made concerning the assignment of course credit. It is assumed that both members of the team offering a course will actively participate in all phases of the course. Courses in which two faculty members split responsibilities (e.g. one covers material for one portion of the semester while the other faculty member covers material for the remaining portion) are not considered team-taught courses for our purposes.

• A department or program may offer no more than 20% of its courses in a team-taught format.

• Ordinarily, team-taught courses should have a minimum enrollment of 12 undergraduates or 8 graduate students (i.e., double the minimum enrollment for single instructor courses). Exceptions must be approved by the Dean’s office.

All requests for team teaching should be submitted to the department chair (or chairs in the case of courses involving faculty in more than one department). If the request is for an existing course, it should be identified by course title and course number. **Deadlines for submission by department chair to the divisional associate dean are:** Proposals for Spring semester should be submitted no later than September 1 and proposals for the following Fall semester should be submitted no later than January 1.

Application procedures for new team-taught courses: Faculty members who wish to offer a new team-taught course should submit a brief proposal (e.g., two-page single-space maximum) to their department chairperson(s) specifying the following:

• Title of the course

• Names of involved faculty and their department affiliation(s)

• Description of the course, including whether it represents a new course or one that has been offered as a singly-taught course in the past; in the case of the latter, the frequency with which the course has been offered.

• Learning goals for students in the course.
- Procedures and standards for evaluating student performance
- Description of responsibilities and areas of expertise of involved faculty
- Anticipated enrollment

The chairperson, in consultation with the department curriculum committee, should send a letter of support to their divisional associate dean addressing how the course will enrich the curriculum as well as how it might enhance the faculty member’s own professional growth. If a department forwards more than one proposal, the chairperson will need to provide a rank-ordering of the proposals. In cases where faculty members are from different departments or Colleges, both department chairpersons should send a letter indicating their support. The department of the course’s primary home submits the request to the Dean’s Office. In cases where a course is taught by faculty from two departments, one department should take responsibility for collating and submitting the application, including the letter of support from the other department chair. **The Dean’s Office should only ever receive one set of documentation for any course proposed.**

Proposals will be evaluated according to the following criteria:

- Intellectual Considerations
  - Interdisciplinary or multidisciplinary innovativeness. Does the course contribute to the advancement of a field or fields by placing two different perspectives together, more than might occur if only one faculty member was teaching the course?
  - Student benefit. Does the proposed course provide students with a unique set of perspectives that would otherwise not occur if only one faculty member taught the course? What is the impact of the team-taught course on the curriculum? Does it enrich the curriculum in ways that two different courses taught in separate departments do not?
  - Faculty development. Does the course facilitate the faculty members’ scholarly or pedagogical growth? If so, how?

- Practical Considerations
  - Is each faculty member fully committed to the course (e.g., attending
all classes, grading, etc.)?

- Is the description of the course clearly presented? Are the learning goals clearly articulated?
- Has this course been offered previously? (Ordinarily, first-time courses will receive higher priority than a course that has been offered repeatedly.)
- Will this course attract sufficient student enrollment?
- Does the department have a reasonable plan to address the loss of a course?

Proposals and letters from the chairpersons should be submitted to the associate dean for your division (or both associate deans in the case of courses involving faculty in more than one division) by September 1, 2016 for courses taught in the Spring 2017 semester and January 1, 2017 for courses taught in the Fall 2017 semester.

- Faculty are also encouraged to consider the Provost’s Initiative on Team Teaching [http://provost.nd.edu/assets/60380/provostinitiativeonteamteaching_fall2010procedures.pdf](http://provost.nd.edu/assets/60380/provostinitiativeonteamteaching_fall2010procedures.pdf) for faculty who wish to teach a course together and who are from two or more colleges. Contact Associate Provost Hugh Page ([hpage@nd.edu](mailto:hpage@nd.edu)) for more information.

### 2.4 Policies

#### 2.4.1 Scheduling

Faculty are expected to work collaboratively with their colleagues to build a schedule that places student needs first and fully utilizes classroom space across the entire scheduling grid. Please make an effort each semester to schedule classes across the full range of times available to you; it is expected that no more than 40% of a department’s classes will be scheduled in prime-time slots (10:00 am – 3:00 pm.) The most underutilized times currently are 8:30 a.m. on Mondays and Wednesdays, Fridays all day, and afternoons throughout the week. Given that the College has a limited number of classroom spaces to use at each standard time slot, all efforts aimed at facilitating greater stewardship in the scheduling of
courses would be appreciated.

2.4.2 Course Assignments
The availability of courses remains a source of concern for our students. Long-range and long-term curricular planning will result in more balanced offerings over the course of a year.

2.4.3 Course Cancellations
Circumstances occasionally arise that require cancellation of already subscribed classes. Such cancellations should be exceptional and must be reviewed by the Associate Dean for Undergraduate Studies before the Registrar is contacted.

Students affected by cancelled courses should be notified by the department immediately and always be offered the following: (1) a viable alternative course, ideally at the same class time (this may require adding a new course with open seats for everyone in the cancelled course); (2) personal help for each student (provided by the department) in adjusting his or her schedule and obtaining the proper permission(s); and (3) an explanation of the situation, including reasons for the cancellation.

2.4.4 Large Classes
Classes with more than 100 students should ordinarily have tutorials. Exceptions should be discussed with the Associate Dean for Undergraduate Studies.

2.4.5 Syllabus
A syllabus must be prepared for every course and submitted to the department. A syllabus should contain:

- Basic information about the course and the instructor, including contact information and offices hours;
- A clear statement of learning goals, course requirements and general expectations of students;
- Attendance policies and criteria for evaluating assignments; grading percentages and policies;
- Required and optional texts;
- Tentative schedule of topics and assignments;
- Statement on the Honor Code and plagiarism.

Faculty are reminded that they should give at least one assignment (with evaluation) before midterm.

For further information see Guide to Undergraduate Teaching in the College of Arts and Letters. https://al.nd.edu/assets/208031/guidebook2016.pdf

2.4.6 Faculty Absences
If an instructor will miss two classes or be out of town for more than three to four days, the absence should be cleared in advance with the chairperson. Faculty members missing classes because of scholarly activities and professional travel are expected to reschedule these classes.

2.4.7 Field Trips and Missed Classes
The College recognizes the value of class field trips and offers some funding for such opportunities through Teaching Beyond the Classroom programs. However, we should like to clarify college policy on this matter. In general, instructors should avoid organizing field trips that would require their students to miss another instructor’s class (or a required lab session associated with a class). Such field trips often impose a dilemma on students who are forced into a difficult situation not of their making; they also impose appreciable extra work (i.e., composing discrete makeup quiz or exam) on the instructors of classes that are missed. However, if an instructor does decide to arrange a field trip that requires students to miss another class, these guidelines apply:

- An instructor cannot require students to participate in a field trip that would force them to miss another instructor’s class. If an instructor designs a course assignment that requires participation in such a trip, an alternative assignment must be designed for students not participating in the trip. No penalty of any kind can be assessed on a student who chooses not to participate in such a trip.

- It is the responsibility of the instructor organizing the trip (and not the student) to contact the instructors of every class that will be missed. The
instructor should inform other instructors of the time/nature of the trip and should explicitly recognize the right of each instructor to decide whether or not to grant an excuse for such an absence.

- The College’s Teaching Beyond the Classroom program will not sponsor any trip that requires students to miss another instructor’s class.
- It is strictly forbidden to organize such a trip during the week before break (i.e., midterm week) or the week before finals (i.e., the last week of classes) or during finals week.

2.4.8 Excused Absences for Postgraduate Opportunities

The Academic Council recommends that faculty members take into account the crucial importance of interviews for undergraduate students seeing postgraduate opportunities and that faculty members exhibit flexibility and good judgment in allowing senior to obtain, with proper verification, a reasonable number of excused absences for such interviews. Students should notify the instructor in advance of such an absence. If a conflict should arise between a faculty member and a student concerning such an excused absence, the student may appeal a negative decision to the Dean of the student’s college.

2.4.9 Final Examinations

The Academic Code mandates a summative assessment for all undergraduate courses. This may take the form of a final examination, term paper or project, take-home test, or oral examination. For complete regulations regarding the scheduling of final assessments, consult the Undergraduate Academic Code http://honorcode.nd.edu. No examinations should be scheduled for study days. Take-home examinations should be due at the time of the regularly scheduled examination.

2.4.10 Office Closings

A policy regarding office closings has been established to ensure the departments maintain operations during critical times. The Dean’s Office must be notified and a dean must grant approval so that proper response and coverage can be
established. (This policy may be found under POLICIES at the end of this Guide.)

2.5 Evaluation and Recognition

2.5.1 Evaluation of Teaching
All cases for renewal and promotion are evaluated using guidelines issued by ACPET (Advisory Committee to the Provost on the Evaluation of Teaching).

ACPET guidelines encourage narrative evaluations of teaching that address broader issues, such as the quality of the learning goals for each course and the appropriateness of the methods to achieve the learning goals; the extent to which the faculty member fosters genuine student learning in and beyond the classroom; the evaluation of faculty members and students through peer visitations; and the candidate’s record in curricular development.

2.5.2 Course Instructor Feedback (CIF)
Beginning in the fall of 2008, the TCE, a University-wide instrument by which all students evaluate their courses and teachers, was replaced by an on-line instrument (CIF). Information on the CIF process, including how to assign specific learning goals to courses, can be found in the Guide to Undergraduate Teaching in the College of Arts and Letters at https://al.nd.edu/assets/208031/guidebook2016.pdf. All courses are evaluated, regardless of the enrollment, and each instructor in team-taught courses is evaluated separately.

2.5.3 Awards
The College promotes excellence in pedagogy in a number of ways. One of the most visible is in the recognition that we accord to those who excel.

2.5.4 Charles E. Sheedy Award For Excellence In Teaching
The Charles E. Sheedy Award for Excellence in Teaching was named for Rev. Charles Sheedy, C.S.C., a much-beloved Dean of the College of Arts and Letters. The Sheedy Award is given annually. The recipient is chosen by a committee of
former winners and current undergraduate students. Nominations, from both faculty and students, are welcome until 5pm on February 17, 2017 and should be addressed to the Associate Dean for Undergraduate Studies. For a list of former Sheedy Award recipients, please consult http://al.nd.edu/about/the-faculty/sheedy-award.

2.5.5 Joyce Teaching Awards
The Joyce Award, formerly known as the Kaneb Teaching Award, was established in 2007 and is named for the late executive vice president of Notre Dame. It honors faculty members who have had a profound influence on undergraduate students through sustained exemplary teaching, and, in particular, recognizes professors who create environments that stimulate significant student learning, elevate students to a new level of intellectual engagement, and foster students’ ability to express themselves effectively within their disciplines.

For more information on the award, see http://al.nd.edu/news/13453-teaching-awards-honor-work-with-undergraduates.

2.5.6 Dockweiler Award For Excellence In Undergraduate Advising
Established in 2007 through a gift from the Julia Stearns Dockweiler Charitable Foundation, the Dockweiler Award for Excellence in Undergraduate Advising annually recognizes approximately three members of the full-time faculty or exempt staff who have demonstrated a sustained commitment to Notre Dame undergraduates through outstanding mentoring, academic advising or career counseling services. For more information on the award, see http://al.nd.edu/news/12907-20-faculty-and-staff-receive-first-joyce-dockweiler-awards.

2.5.7 Dondanville Family Graduate Award in Arts and Letters
The Dondanville Family Graduate Award in Arts and Letters, awarded annually, emphasizes the vital importance of maintaining undergraduate teaching excellence while promoting graduate programs.
2.6 Enrollment Management

2.6.1 Under-Enrolled Classes
For pedagogical as well as financial reasons, the College keeps to a minimum the number of classes with fewer than eight students or more than 50 students.

Currently, undergraduate course enrollments below eight require justification, and graduate enrollments below five require justification. In cases where there are sound reasons to offer a course with low enrollment, approval should be sought from the Associate Dean for Undergraduate Studies by the first day of the semester.

2.6.2 Canceling Classes
If a course is cancelled, it must be made-up either by re-assignment or by increasing the faculty member’s teaching schedule in a subsequent semester. If it is necessary to cancel a class after TUSCs have been submitted, please contact the Associate Dean for Undergraduate Studies.

To insure that a class is cancelled, a course cancellation form must be completed and submitted to the Office for Undergraduate Studies.

2.6.3 Class Size
Enrollment caps are set by department chairpersons in consultation with the Dean’s office. The Registrar’s office will refer all requests by individual faculty members to the department chair.

2.6.4 Course Management Information and Training
Training workshops for Notre Dame’s Banner System, which provides information on courses, including enrollments for each coming semester, and information on individual students, can be arranged by contacting the Registrar’s office.

2.7 Education Program in Cooperation with Saint Mary’s College

2.7.1 Education Program
Notre Dame does not offer education courses; however, through a cooperative arrangement with the Department of Education at Saint Mary’s College, students
can take education courses and arrange to do student teaching. After appropriate course work and one semester of student teaching, students are eligible for state certification. Additional questions should be referred to Assistant Dean Nicholas Russo in the Office for Undergraduate Studies (631-7098).

**PART THREE: GRADUATE STUDIES**

**3.1 Graduate Studies Overview**

**3.1.1 Overseeing Graduate Studies**

The Associate Dean for Research is the primary contact between the College and the Graduate School for general issues relating to graduate education. Each divisional Associate Dean is the point person in the College for issues related to graduate studies in the relevant programs. He or she is responsible for the evaluation of graduate programs, promoting best practices among graduate programs, reviewing the current graduate program budgets, and vetting requests for additional graduate funding.

**3.1.2 Duties of Director of Graduate Studies**

Each graduate program in the College must have a Director of Graduate Studies (DGS), appointed by the Department Chair. The terms of the appointment are reviewed and approved by the divisional Associate Dean. The Director of Graduate Studies serves as administrative coordinator and main point of contact for her or his respective program. He or she also functions as a liaison among students, faculty, the Arts & Letters Dean’s Office, and the Graduate School.

The Director of Graduate Studies is responsible for promoting a strong graduate program. The DGS oversees recruitment, applications and admissions, and graduate student orientation for the department. The DGS should uphold and develop departmental policy in conjunction with his or her department’s Graduate Studies Committee. The DGS should regularly advise students on registration, professional development, departmental service, progress toward the degree, the job market and placement. In addition, the DGS is expected to report periodically on the program to the Dean’s Office and to the Graduate School.
3.1.3 Graduate Admissions

Each fall, the division’s Associate Dean discusses the upcoming recruiting season with the DGS and the Chair of each PhD program. This discussion will determine program targets for recruitment, including the target size of the incoming cohort and the number and size of corresponding stipends. In addition, these discussions will determine the number of Presidential fellowships allocated to the program for recruitment.

After this meeting, the DGS and Chair will receive a letter from the Associate Dean with admissions authorizations, including specifications for the size of cohort, size of stipend, number of fellowships, etc. for the coming admissions cycle. Note the following stipulations that remain constant from year to year:

Cohort Size
The target cohort size is the total cohort. It includes students funded by the College and all other sources. Non-College stipends should be used to offset College stipends, not increase the size of the cohort unless approved by the divisional Associate Dean. If a program admits more students than the target, the program must fund them from the stipend bank.

Unused stipends can be banked or redistributed for other uses after consultation with your Associate Dean. Options include placement in the stipend bank for future use, using the uncommitted money to increase stipend levels, or using it for other types of graduate student support such as travel or professional development.

Stipend Bank
The department’s stipend bank is maintained by the Graduate School. The Graduate School Director of Budget and Operations can provide the most up-to-date bank balance. Please note that the stipend bank is the total amount available to the program and is not an annual amount.
Select Fellowships
The Graduate School offers a number of select fellowships to top candidates among each incoming class. Select fellowships award a higher level of stipend support to students than the general College supported stipends. Selection is competitively based on nominations from the DGS. Please note that any Select Fellowship winners are included in the program’s target cohort size. Select Fellowships should not be used to increase the size of the cohort.

For a complete list of Select Fellowship and their criteria, please visit the Graduate School’s website: Select Fellowships

Presidential Fellowships
The Dean’s Office allocates a number of Presidential Fellowships to each graduate program. Presidential Fellowships recognize promising graduate candidates and award those candidates with a stipend of $26,000 over 12 months.

The DGS does not need to nominate incoming students to any outside body in order to secure a Presidential Fellowship. Presidential Fellowships are offered to students at the discretion of the DGS and the department’s Graduate Studies Committee in order to recruit outstanding and competitive candidates. Please note that any Presidential Fellowship winners are included in the program’s target cohort size. Presidential Fellowships should not be used to increase the size of the cohort.

Unused Presidential Fellowships can be banked for use in the next year’s recruiting cycle with the approval of the divisional Associate Dean.

Presidential Fellowship awards should be noted on the candidate’s application in The Graduate School’s application system, Slate.

Matching Offers
If a potential student receives an offer from a peer or aspirational peer institution that the department would like to match but cannot with the resources already
available, the DGS is welcome to have a conversation about matching an offer with the divisional Associate Dean. The College will consider “topping-off” the stipend of a student who has received a stipend offer from a peer or aspirational peer department. There is no specific formula for the top-off, each is customized based on the situation.

Professional Development Funds for Incoming Students
At this time, the department may offer each incoming student a $1,500 professional development account. For more on professional development funds see 3.3.2 below.

3.1.4 Graduate Stipends and Jobs

Graduate (GA) Stipends
The College Guarantees funding for graduate students through the first five years of graduate study, contingent on satisfactory progress towards the degree as defined by program requirements. Depending on the graduate program, students either receive the base stipend, paid over 9 months, and may apply for additional summer funding on a competitive basis; or they receive a higher, 12-month stipend with no additional summer funding. Many students receive additional funding in the form of premium fellowships and other top-up funds.

Ph.D. Stipend Payment Schedules
First-year students – Students entering the program will receive their first stipend payment on 8/31. Students entering the program must comply with Federal I-9 requirements and submit their social security number before receiving their first stipend payment. (Those without a SSN should have applied for one to receive support.)

PhD students on 12 month stipends – virtually all departments have moved to 12 month PhD student stipends. Like all graduate stipends, these stipends are paid semi-monthly on the 15th and last day of each month. The annual year begins 8/16 and ends on 8/15. Technically, the graduate annual stipends will be broken down into the Academic Year and Summer, and may be further broken down into the fall
and spring semesters, if appropriate. The fall semester begins 8/16 and ends 12/31. The spring semester begins 1/1 and ends 5/15. The summer session begins 5/16 and ends 8/15. Stipends will be entered at the department level so that all semi-monthly stipend payments are equal. Graduate students in programs with 12 month stipends are not eligible to apply for additional summer stipend funding. Students receiving top-up funding will also receive stipends on an annualized basis, with payments processed in such a way so that payments are equal on a semi-monthly basis. The graduate school will assist in determining proper foapal splits and distributions.

**PhD students on academic year stipends** – 9 month or academic year stipends are paid semi-monthly on the 15th and last day of the month. The 9 month stipend period begins 8/16, with the first payment disbursed on 8/31, and ends 5/15. Stipends will be entered at the department level so that all semi-monthly stipend payments are equal. Graduate students in programs with 9 month stipends will be eligible to apply for summer stipend funding if the department has funding available. Students with 9 month stipends who also receive top-up stipends will receive the top-up stipend as summer funding and will generally not be eligible to receive additional summer stipend funding. Summer stipends begin on 5/16 (paid 5/31) and end on 8/15 (paid 8/15), are paid semi-monthly, and are entered by the department as equal semi-monthly payments.

If a student on a 12-month stipend graduates in May, the stipend will end in May because a graduate stipend cannot extend beyond graduation. The student may receive total payments that are less than the promised stipend because of the way stipend payments are averaged across 12 months. In those cases, the College will supplement the May payment so the student will have received a total stipend equal to the promised stipend.

### 3.1.5 Sixth-Year Funding

a) Students who win external fellowships at or above the base stipend amount and who did not collect a stipend from the College for one or more years during their
first five years of study may apply for an additional year of funding (see the procedure below). Fellowships funded by sources within the University (NDIAS, Nanovic, etc.) do not count as external fellowships.

b) Sixth-year funding is not guaranteed for these students, but external recognition of a student’s research and progress toward degree will count strongly in the consideration of applications.

The College will not pay for more than a single additional year of funding (e.g. a student who wins an external fellowship that runs for two years may not then collect a College stipend in their sixth and seventh years.) Sixth-year stipends will be paid over nine months, ending in May of the sixth year.

c) Students who have not finished in five years and have collected a stipend from the College for five years may also apply for sixth-year funding, if funding is available. Sixth-year funding is not guaranteed for these students; funding decisions will be made by the divisional Associate Dean in consultation with the DGS and the student’s advisor. For some students, sixth-year funding may be offered on a semester to semester basis. Students must show evidence of sustained and satisfactory progress towards the completion of the dissertation, and a plan for completion by the end of the sixth year. The application process is explained below.

The College will monitor closely whether students who are awarded a sixth year of funding achieve what they say they are going to achieve. If programs regularly request and secure sixth-year funding for students who fail to finish, the success of subsequent applications may be affected.

d) Students in their first five years who collect a stipend while on childbirth accommodation, generally will receive funding for at least one semester in their sixth year, provided they are in good standing with their program. For more on leaves and accommodations, see below.

e) Students beyond the sixth year are not eligible for stipend support.
Sixth Year Funding Procedures

Applications for Sixth-Year Funding

The Director of Graduate Studies for each program should address the request to the appropriate divisional associate dean. Requests for sixth-year funding are due May 1.

Requests should include:

• a letter from the student’s advisor outlining the student’s progress to date and likely timetable for completion (if the department conducts an annual assessment of each graduate student, the annual assessment report can be submitted instead of a letter from the advisor).

• a work plan from the student explaining what they need to do to finish and how they will do it (1 page maximum).

• the student’s c.v.

• an explanation of how the department intends to fund the stipend.

• the length of the term of funding requested (whether it is for one or two semesters).

3.1.6 Additional payments for Graduate Students

Graduate students who are on a full university stipend may serve as TAs, teach, provide research support, or offer other academic/administrative support which benefits the University, department, and/or individual faculty. This work is considered part of their professional training and will be assigned by the DGS of the program.

Graduate students on full stipend are not eligible for additional payments beyond the stipend for duties that impede continuous progress toward degree completion or divert significant time or energy away from the degree program for the purpose of earning additional compensation. All additional payments must be authorized by the DGS of the program and are subject to limits set by the program in conjunction with the Graduate School. Special considerations apply for students on external grants and foreign students. For further information, consult the Associate Dean for Research.
Graduate students who are not on full stipend may be paid for work provided, (i.e. TAing, teaching, research, etc.) at prevailing College rates.

3.1.7 Leaves

**Medical Leaves of Absence and Childbirth Accommodations**
(For the Graduate School policy, see The Graduate School’s Bulletin of Information)

The Graduate School currently offers either Childbirth Accommodation (which preserves funding, does not stop the student’s clock, but extends academic eligibility by a semester) or Medical Leave of Absence (which stops funding and the academic clock). Students are limited to two (2) funded semesters of Childbirth Accommodation during their time in the program. Application for a Medical Leave of Absence or a Childbirth Accommodation should be made to the DGS with approval of the department chair and the Associate Dean for Academic Affairs in the Graduate School.

For students on a Childbirth Accommodation (which preserves funding), the College will provide an additional semester of funding beyond the fifth year for students in good standing. This option will make it easier for students to choose the appropriate course of action.

The College is considering the creation of a funded leave policy that would provide stipend support to students on the first semester of a Medical Leave of Absence; a draft policy will be circulated to DGSs for discussion as soon as it is available.

3.1.8 Graduate Student Space

**Departmental Office Space**
Departmental offices and study spaces available for graduate students are assigned by the departmental office. Graduate students should work with the DGS and department coordinator to arrange for a space.

**Library Carrels**
A limited number of library carrels are available to students in departments that lack departmental office and/or study space. Carrels vary in size and can be assigned to individual graduate students or can be shared by two or more graduate students. Students can also be assigned to a desk in the graduate student study room on the library’s 10th floor.

Only Ph.D. students on full stipends are eligible for a library carrel assignment.
M.A. and M.F.A. students are not eligible. Priority for individual carrels is given to dissertating students and students taking their qualifying exams. Students in the first and second year of their program are assigned to shared carrels. Carrels are assigned on a semester to semester basis with terms in the fall, spring and summer.

Students access carrels with a key provided by library circulation. Keys are checked out like books on a semester by semester basis and are attached to Student Accounts. Failure to renew the key at the end of the semester for continued use of the carrel results in forfeiture of the space and/or monetary fines. Failure to return the key upon reassignment or graduation will result in significant monetary fines.

Students assigned to the 10th floor will be given swipe access through their Notre Dame ID cards to enter the space. Upon reassignment or graduation, swipe access will be revoked.

Carrels should be used only for studying. Holding office hours in library carrels is not permitted. Graduate students interested in holding office hours should work with their home department to find a space. If departmental space is not available, the Dean’s Office does offer a limited number of hoteling offices for students to hold office hours. For more information on those spaces, students should contact their department administrative coordinator.

### 3.2 Academic Policies and Procedures

#### 3.2.1 Graduate School Policies and Procedures

For Academic Policies and Procedures in Graduate Studies at the University of Notre Dame, please refer to the [Graduate School’s Bulletin of Information](#).

#### 3.2.2 Departmental Degree Requirements and Procedures

For each department’s degree requirement and procedures, please see their individual handbooks below.

**The Humanities**

Department of Classics
- [M.A. in Classics](#)
- **M.A. in Early Christian Studies**

Department of English
- **M.A. in English**
- **M.F.A. in Creative Writing**

Department of History
- **Ph.D. in History**

Program in Literature
- **Ph.D. in Literature**

Medieval Institute
- **Ph.D. in Medieval Studies**

Department of Philosophy
- **Ph.D. in Philosophy**

John J. Reilly Center
- **Ph.D. in the History and Philosophy of Science**

Department of Romance Languages
- **M.A. in French and Francophone Studies**
- **M.A. in Italian Studies**
- **M.A. in Iberian and Latin American Studies**
- Ph.D. in Italian
- Ph.D. in Spanish

Department of Theology
- **M.A. in Theology**
- **M.A. in Early Christian Studies**
- **M.Div.**
- **M.T.S.**
- **Ph.D. in Theology**

Program in Gender Studies
- **Graduate Minor in Gender Studies**

Keough-Naughton Institute for Irish Studies
- **Graduate Minor in Irish Studies**

**The Arts**

Department of Art, Art History and Design
- **M.A. in Art History**
- **M.F.A. in Studio Art**
- **M.F.A. in Design**

Department of Film, Television, and Theatre
- **Graduate Minor in Screen Cultures**

Sacred Music at Notre Dame
- **M.S.M.**
- **D.M.A.**

**The Social Sciences**

Department of Anthropology
- **Ph.D. in Anthropology**
3.3 Fostering Excellence in Graduate Students

3.3.1 Graduate Program Evaluation

Evaluation of graduate programs includes broad consideration of factors indicating and affecting the success of the program including, for example, the quality of incoming students (measured by indicators such as GRE scores, GPA, baccalaureate institution, percentage of applications accepted, and so forth), record of attrition and time to degree, innovative and coherent programs of study and support, quality of graduate student teaching and graduate student scholarship, placement record of students, quality of faculty teaching and faculty publications, external funding for scholarly activity, contributions to neighboring units, and national rankings.

3.3.2 Graduate Professional Development

College Professional Development Funds

The College offers professional development funds to most students as part of the admissions package. Professional development funds for individual students should be tracked by the department’s graduate coordinator. Students can access funds through a TravelND Expense Report or by booking with Anthony Travel.

College professional development funds may be used for presentations at conferences, field work & relevant research, professional training, or travel to job interviews. They are not to be used to hire staff support, for human subject payments, or research materials. The department may set the parameters for the use of professional development funds (keeping in mind that requests for reimbursements must always satisfy College and University expense policies). Questions on the use of professional development funds should be directed to the appropriate divisional associate dean.
Internal Resources for Professional Development

Graduate School Professional Development Awards
ISLA Graduate Student Research Awards
The Center for the Study of Languages & Cultures: Summer Language Abroad Grant Program
GSU Conference Presentation Grant
Kellogg Institute Graduate Research Grants
Nanovic Institute Travel and Research Grants

For External Resources for Professional Development, please visit the Graduate School’s Research and Funding page.

3.4 5+1 Postdoctoral Fellowship Program

3.4.1 Guaranteed Sixth-Year Postdoctoral Fellowship

Students who finish the PhD in five years (i.e. complete all requirements for the degree by August 1 before what would otherwise be their 11th semester,) are guaranteed a one-year postdoctoral fellowship (5+1 Postdoctoral Fellowship), with a teaching load of no more than two courses per year, additional funds to support professional development (at least $1500), and benefits as described by the Office of Human Resources HERE.

Except in extraordinary circumstances and with the approval of the divisional associate dean, the 5+1 fellowship may not be deferred but must be taken up immediately after the final submission of the dissertation.

To complete all the requirements for the degree, the student must successfully defend the dissertation and submit the finished dissertation to the Graduate School. In 2017, the deadline for final submission to the Graduate School will be August 1. This deadline may change in future years.

5+1 Postdoctoral Fellowship Academic Year Appointment Details

The normal 5+1 postdoctoral fellowship is an academic year appointment that runs August 16th through May 31st. Eligible graduate students must successfully defend the dissertation and submit a final, corrected version to the Graduate School by August 1 in order to be appointed. A student who has missed a semester or more because of a University approved leave of absence and who is eligible to start a full, 5+1 postdoc in January (instead of August) must successfully defend and submit the dissertation to the Graduate School by the graduate school’s deadline for January graduation (in 2016: December 5).
All 5+1 Postdoctoral Fellows must take on a faculty mentor in their home department: a relationship that should be determined well before the start of the appointment. Faculty mentors act as a supervisor for 5+1 Postdoctoral Fellows and should be highly committed to providing high quality career training for fellows. To learn more about faculty mentorship, please visit the Office of Postdoctoral Scholars page on Mentoring.

5+1 Postdoctoral Fellows will teach at least one course in one semester; in addition, they will either teach one course in a second semester or arrange a professional internship. All teaching and internship arrangements should be determined well before the start of the appointment, in consultation with the department. 5+1 Fellows are not guaranteed their choice of class to teach; in addition, there is no guarantee of an internship. Prospective fellows must apply for internships in a competitive process. Internship openings will be advertised and applications will be due towards the end of the spring semester. Prospective fellows can find out more about internships from the Graduate Career Consultant for Art and Letters based in the Graduate School.

5+1 Postdoctoral Fellows who chose to teach two courses over the course of their fellowship year may take on a 1:1, 0:2, or 2:0 teaching schedule, depending on department needs, and may teach outside their home department.

Prospective 5+1 Postdoctoral Fellows may seek internship opportunities outside the University, with the guidance of their DGS and/or faculty mentor. They may also apply for any of the internship opportunities currently offered by the College of Arts & Letters.

For more information on the 5+1 Postdoctoral Fellowship Program, please visit the website: 5+1 Postdoctoral Fellowship Program.

Partial 5+1 Postdoctoral Fellowship
In 2016-17, a sixth-year student who completes the degree requirements for the PhD after the start of the academic year may receive a postdoctoral fellowship for the second semester, so long as all degree requirements have been met by the graduate school’s deadline for January graduation (in 2016: December 5). The postdoctoral fellow will also be eligible to receive a prorated amount of professional development funds to enhance career development. A partial postdoctoral fellowship is not guaranteed; students should apply via their DGS and applications will be considered by the DGS in consultation with the divisional associate dean.
on a case-by-case basis.

**Space for 5+1 Postdoctoral Fellows**

Fellows should work with their home department to arrange for office space. If departmental space is not available, fellows are eligible for an individual carrel space in the library.

**PART FOUR: RESEARCH**

4.1. **External Grants**

The College encourages faculty to work with the Institute for Scholarship in the Liberal Arts (ISLA) in locating sources of external funding. Although we submit fewer grants than some universities, especially in the social sciences, our record of obtaining grants is nationally competitive. Grant activity should be weighed at the time of annual performance reviews.

If a grant application requires additional space, renovation costs, or other infrastructure needs, it is important to consult with the Director of Finance and Operations before submitting an application. All reasonable expenses should be included in a proposal. When possible, grant proposals should include funding for graduate students. Please contact either Lori Loftis (social sciences) or Ken Garcia (humanities and arts) for current stipend levels for graduate students.

4.2. **Equipment Restoration and Renewal Grants**

The Equipment Restoration and Renewal Grant program of Notre Dame Research (formerly known as Office of Research) is designed to provide University funds to restore or replace equipment required for current research and other scholarly activities. Proposals are solicited for single capital investment needs with a cost greater than $50,000. Notre Dame faculty who have not received an award under this program in the last five years may submit a proposal. Each college will screen the proposals submitted by its departments and submit no more than two proposals to Notre Dame Research. Requests for library collections qualify for support under this program:

https://research.nd.edu/our-services/funding-opportunities/faculty/internal-grants-
Faculty are encouraged to speak with the Associate Dean for Research for more information and guidance on writing the proposal.

4.3. Institute for Scholarship in the Liberal Arts (ISLA)

4.3.1. ISLA’s Mission

The purpose of the Institute for Scholarship in the Liberal Arts (ISLA) is to help build, sustain, and renew a distinguished faculty through research in the arts, humanities, and social sciences and to enhance the intellectual life on campus. ISLA provides grants for faculty research, travel to international conferences, speaker series/conferences, and publication subventions as well as assistance with conference and lecture series planning.

In addition, ISLA is the College’s clearinghouse for information, advice, and assistance in finding and obtaining grant funds from public or private agencies for a range of scholarly and artistic purposes. ISLA staff members assist faculty in several ways: determining the range of funding sources, advising faculty regarding the content of grant proposals, assisting in the preparation of proposal budgets, and ushering proposals through the administrative review process. ISLA also hosts grant proposal workshops during the year. Finally, the Institute has offered a variety of other faculty development activities such as workshops on academic writing and publishing with an academic press. Faculty members are reminded to route all external grant proposals through ISLA.

4.3.2. ISLA Awards

ISLA provides a variety of internal awards to regular faculty members. For more information and specific guidelines, visit ISLA’s website at http://isla.nd.edu, call (574) 631-7531, or stop by the Institute office located in 249 O’Shaughnessy Hall. All proposals must be submitted online through the submission portal on the ISLA website.

4.3.3. Undergraduate Research Opportunity Program (UROP)

During the academic year, UROP provides support through Senior Thesis Grants
($2,250), Conference Presentation Grants ($1,500), and Research and Materials Grants ($1,750), Diana M. Sciola Grants ($2,500), and Social Justice in the Marketplace Grants ($3,000). For summer research and creative projects, UROP offers: Summer Comprehensive Grants, Da Vinci Interdisciplinary Grants, and American Dream Grants. The maximum award for these grants is $4,500. As each grant has its own eligibility and application guidelines, students and supporting faculty members are urged to consult the grant program's webpages for details. https://isla.nd.edu/for-undergraduate-students/urop---undergraduate-research-opportunity-program/

PART FIVE: STAFF, BUDGET, AND OPERATIONS

5.1 Staff

Department chairpersons provide leadership and direct supervision of departmental staff. This leadership/supervision includes maintaining a positive, appreciative and engaging atmosphere. The primary vehicle for establishing this atmosphere is communicating expectations for the department and staff on an ongoing basis. Staff are often the link that provide continuity in an office. We depend on staff not only to accomplish their respective tasks, but to acquaint faculty with administrative and managerial functions and processes inherent in office life and to cultivate a welcoming atmosphere for all who enter. The level of professionalism of the office will be obvious to all who enter, whether faculty, students, or guests.

Staff should always be treated professionally and courteously. Staff should be recognized when specific instances of their work exceed expectations. It is important to find creative ways to reward staff for their accomplishments. A recommendation for a raise is only one way that a department chairperson can express appreciation for exceptional work.

5.1.1 Staff Reviews

One of the most sensitive areas that a department chairperson will encounter is the review of staff. All staff supervisors, including department chairs and directors, are required to follow the University policies and procedures regarding staff
performance management and performance reviews. For information and materials, consult the HR website at: https://endeavor.nd.edu

Human Resources also provides training and support for staff performance management and performance reviews.

The Senior Director of Finance and Administration oversees the staff performance management processes for the College and establishes specific timelines and parameters for the College’s performance reviews. All completed annual staff performance reviews (due on approximately May 1st each year) are reviewed by the Senior Director of Finance and Administration for annual merit raise consideration and as the second level supervisor for all staff in the College. Feel free to contact the Senior Director of Finance and Administration for any questions, concerns, or assistance with staff performance management or performance reviews.

5.1.2. Basic Expectations of Non-Exempt Staff

- The typical work day is 8:00 am to 5:00 pm, Monday through Friday, during the academic year. In the summer, the office may close at 4:30 pm, if the lunch break is reduced to 30 minutes. Exceptions to these stated office hours should be communicated to and approved by the Senior Director of Finance and Administration.

- The University’s policies related to sick time, vacation, personal leaves, funeral leaves, etc. can be found at http://hr.nd.edu/nd-faculty-staff/forms-policies/.

- Please see the position description and position notebook for information relevant to basic staff duties, tasks, and responsibilities.

- All staff are expected to adhere to the University’s value system and participate in the University’s mission.

The College has implemented a staff flextime policy. This policy allows departments and staff to manage staff hours so that staff may shorten their work day by reducing the lunch hour to a half-hour. This must be done in a
coordinated fashion that maintains the service delivery at the office level and maintains the University’s 8am – 5 pm business hours for the respective department, program, or office. It is also expected that staff will stagger lunch periods to allow offices to remain open during usual lunch hours to receive student traffic.

The Dean’s Office conducts monthly staff meetings during the academic year where University and College policy issues, upcoming events, changes in systems, etc. are discussed. Your staff should attend these meetings to ensure awareness of current policies, procedures, and forms. Invited guest speakers from across campus are also frequently included to provide short training opportunities during such meetings.

5.2. **Budgets**

5.2.1. **Three Budgets**

Most department chairpersons will receive up to three budgets from the College: a salary budget (faculty and staff), a non-salary budget, and a non-regular teaching budget.

5.2.2. **Salary Budget**

The Dean will issue a memorandum at the beginning of February outlining the details for preparing the budget for the upcoming fiscal year. Department chairpersons should make salary recommendations (for faculty and staff), Research and Professional Activities Accounts recommendations, and non-salary requests based on the details requested in the Dean’s memorandum.

Chairpersons should prepare a thorough and thoughtful set of recommendations for faculty salaries (see the recommendations in Part One). After submitting recommendations, the chairperson will attend a meeting with the Dean and their divisional associate dean. The deans will use these recommendations and make relevant adjustments for inclusion in the budget for the entire college. The Provost reviews the salary requests and may make adjustments prior to finalization.

5.2.3. **Non-Salary Budget**

The second component of a department budget is for non-salary support. Non-
salary budgets include all departmental operating costs that are of a non-labor nature. This would include travel, postage, telecommunications, entertainment, supplies, etc. Allocations may vary based on discipline. Budget versus actual amounts should be monitored by the department throughout the course of the fiscal year. Given that unrestricted non-salary budgets are effectively frozen, departments and programs should look to and plan to use restricted resources for programming and operational support.

5.2.4. Faculty Research and Professional Activity Funding

Faculty research and professional activities, including travel, are funded via the following mechanism which supports faculty endeavors:

1. Faculty have existing research and professional activity accounts which can be used for faculty scholarship and University business purposes.

2. Each spring the dean, divisional associate dean, and the department chair meet as part of the annual faculty evaluation process. During this meeting, department chairs present individual faculty member needs. Each department chair should consider the best way to obtain information for this discussion, i.e., require faculty to provide research needs as part of his or her annual report. The dean, in consultation with the department chair, allocates amounts for additional funding to faculty accounts. In making this determination, information such as existing balances, previous expenditures, upcoming needs, scholarship, and overall teaching and research productivity may all be considered.

3. By mid-June, allocations to faculty accounts are transferred to individual faculty accounts for use during the upcoming fiscal year.

4. Recognizing the imperfection of forecasting needs, the dean will accept requests for additional transfers to faculty accounts from department chairs at other times of the year. When making such a request, department chairs should consider the existing account balance, previous expenditures, upcoming needs, and scholarship before making a case to the dean.

Key facets of the faculty research funding process are:

1. The department chair serves as gatekeeper and key decision-maker in the
process. All research funding requests originate and flow through the department chair. The department chair makes the request for individual faculty travel resources.

2. The dean makes the final determination of funding, in consultation with the department chair, taking into consideration the totality of the request.

3. Existing account balances and availability of sufficient funding in the faculty member’s account during the current fiscal cycle is a determining factor in whether additional funding will be provided.

4. Once funding is provided to the faculty account, individual faculty members will manage his or her account resources and be accountable for sound stewardship.

Reimbursement for research and University business expenses:

The travelND system is utilized for reimbursement of University (research and professional activities) expenses. The two most important factors for timely reimbursement are (1) proper documentation and (2) a sufficient explanation of the business or University purpose justifying the expense. Both are absolutely critical and closely scrutinized especially on federal grants and fellowships. For example, if submitting for reimbursement for a meal activity, the itemized receipt should be included (not just the credit card authorization), the people attending should be noted, and any alcohol included should be separated under its own code. TravelND provides an input field for business purpose. You should use that field to provide a business purpose explanation/justification which links the expense to a University purpose/need. When in doubt, opt for over-explanation of business purposes. The description of the business purpose should be of sufficient clarity and completeness that a third-party reviewer could readily understand the relationship of the expense to a university business purpose. Examples of inadequate descriptions and adequate descriptions include:

**Inadequate Descriptions:** Attend Conference; Research; Book Research; Collaboration; Meet with Colleagues; Site Visits; Give a lecture; Speaker.

**Adequate Descriptions:**
- Attend Annual American Solar Scientists Conference
• Interview Candidate for xxx position
• Interview prospective Ph.D. Candidate
• Speaker for April 5 Symposium on xxxxxx
• Research for Brain Imaging Project
• Give Lecture on Economic Trends in Oregon
• Research for book on French influence in NW. Reviewed museum documents & xxxxxx
• Collaborate with Jane Jones at USC about Title IX impact on PAC 10 athletes for upcoming paper

Common reasons why a TravelND submission may not be readily approved or will not immediately reimburse include:

• Missing conference agendas
• Receipts don’t show proof of payment (e.g., Expedia, Hotwire, Priceline, etc.)
• Chase Visa travel card charges fed to Concur (to assist with data entry) are being mistaken as substitute for receipts – receipts are still needed.
• Concur e-receipt for flights are not enough in seeking reimbursement (if not charged to FOAPAL). Still need to prove cost was incurred either by linking travel card to Concur or including credit card statement if personal credit card was used.

[See 5.2.7 for more information related to these faculty accounts.]

For additional information on the University’s Travel, Entertainment and Business Expenses Policy, please see http://controller.nd.edu/assets/93684/travelpolicy_current.pdf. Schedules A and B on pages 28 and 29 are particularly helpful.

5.2.5. **Non-Regular Faculty Budget**

The third component of a departmental budget is the non-regular faculty budget. Budgets for non-regular faculty (visitors, adjuncts, TAs, post-docs, emeriti, grad students, etc.) are distinct and are handled separately from the first two
components. The major difference is that the budget for non-regular faculty is zero-based, i.e., it goes to zero at the end of each academic year. This means that the department chairperson must make a case for non-regular faculty hires every year: there are no permanent lines in departmental budgets for non-regular faculty hires. Each divisional associate dean is responsible for this budget. He or she is assisted by the Senior Director of Finance and Administration who tracks the allocations and assists with the decisions.

The Senior Director of Finance and Administration sends out specific forms to departments for non-regular faculty budget requests. These are due in the Dean’s Office in mid-February. These forms must be completed and approved in order to hire. The College will not process appointment or reappointment forms for non-regular faculty until the chairperson or the designate has made an appropriate case for the hire. Department chairpersons or the designate should let all candidates know that appointments and salaries are conditional until the forms have been approved. All adjunct appointments are subject to enrollment.

In the case of departments that have complicated non-regular faculty appointments and budgets, we will ask for a meeting with the department chairperson or the members of department staff who handle non-regular faculty appointments.

We have standardized rates for adjunct and visitor salaries. Any deviations from these amounts require justification regardless of the source of funding. Please consult with the appropriate divisional associate dean about any deviations. If he or she is unavailable, please speak with the Senior Director of Finance and Administration. A list of the standard amounts is provided in the Confidential Supplement.

If enrollment increases have led to an unanticipated need for extra adjunct appointments during the year, you should turn to the appropriate associate dean, who will review your course offerings and enrollments and consult with the Senior Director of Finance and Administration concerning budgetary options.
5.2.6. **Compensation for Replacement Teaching from Institutes and Centers**

A number of our faculty serve as directors of institutes and centers. Directors play a vital role in the intellectual life of the University. When faculty members receive course reductions as compensation for serving as directors, the home department’s ability to meet course offering demands can be challenging and significant senior faculty teaching and leadership is lost. Thus, the College and department should negotiate a reasonable compensation with the center or institute to compensate for lost courses and the void felt by the department due to the center or institute appointment. This compensation may vary from the cost of replacing the faculty member’s courses to a pro rata amount of the faculty member’s base salary based on overall loss to the department. The pro rata method is the preferred method for being remunerated for such administrative appointments.

5.2.7. **Research and Professional Activities Accounts**

All new teaching and research faculty are awarded Research and Professional Activities Accounts as a part of their start-up package. In addition, some research funding is awarded annually to continuing faculty members in consultation with the department chairpersons. The intent of these accounts is to assist a faculty member with research-and-teaching expenses.

The University policy on the use of research and professional development funds (including a list of eligible and non-eligible expenses) is found at [http://facultyhandbook.nd.edu/university-policies/use-of-discretionary-funds-policy](http://facultyhandbook.nd.edu/university-policies/use-of-discretionary-funds-policy).

College research and Research and Professional Activities Accounts may not be used to supplement any faculty member’s salary, either through a course reduction, summer salary, or any other means.

Faculty with Research and Professional Activities Accounts may request reimbursement for the purchase of supplies and equipment or for travel-related expenses by using the TravelND expense reporting system [https://travel.nd.edu/](https://travel.nd.edu/). Faculty may also have a procard that is linked directly to their Research and
Professional Activities Accounts. This allows them to charge supplies and equipment directly to the credit card. An application for a procurement card may be requested from the Dean’s Office or the Controller’s Office.

Faculty members are responsible for these accounts. This requires faculty to keep track of the spending from the account. This is possible through InsideND. The accounts are located under Administrative Tools and then GLEz.

The accounts are restricted accounts. This means that remaining balances roll forward and do not disappear. This permits faculty to spend the funds from these accounts responsibly over a period of time as the funds are needed. It is possible to overspend an account: accounts do not automatically deny expenditures when the balance is depleted. If an account is overdrawn, the faculty member is obligated to pay the University the overdrawn funds. The College will not contribute additional funds to an overdrawn account. Continuing faculty must bring the balance back up to zero before they are eligible for additional funding. The College will not add to the account to bring the balance to zero. If a faculty member leaves the University with a debit in his or her account, the University will request payment of the debit and hold the faculty member legally responsible for the amount that is owed. If a faculty member leaves the University with a credit in their account, the amount will be returned to the College unless the faculty member retires. In the case of retirement, the account remains with the faculty member as long as he or she is alive or until the funds are exhausted. Funds are not transferable to family members.

It is important to note that requests for reimbursement of expenses must be made within 60 days of the incurred expense. Reimbursements made after 60 days are taxable and will be included in the faculty member’s W-2.

As noted in the Faculty Handbook, all property purchased with these funds belongs to the University. Should a faculty member separate from the University, such property must remain at Notre Dame. This includes, but is not limited to, laptops, special software, personal printer, etc. A department chairperson cannot grant permission to a departing faculty member to retain University property. In
this unusual circumstance, the department chairperson should confer with the Associate Dean for Faculty Affairs for approval. The Office of the Controller must be notified so that the asset may be removed from inventory and the fair market value of the asset must be determined for tax reporting purposes. The departing faculty member will need to be informed that this is a taxable event (fair market value of the asset will be included in his/her W-2).

Unless other written arrangements are approved by the dean, departing faculty members with Research and Professional Activities Accounts balances will be limited to $3,000 in applicable expenditures until his or her effective separation date. This policy does not apply to faculty becoming emeriti who are covered under a separate emeriti policy and procedure.

Please feel free to contact the Senior Director of Finance and Administration or the Staff Accountant with any questions concerning these accounts.

5.2.8. **Endowed Chair Research and Professional Activities Accounts**

All endowed professors receive Research and Professional Activities Accounts to cover the costs associated with their teaching-and-research activities. These accounts are requested by the Office of the Provost and are set up by the Office of Research and Sponsored Programs Accounting (RSPA). Newly appointed endowed professors receive an e-mail notification from RSPA announcing the establishment of the new account and the associated restricted account number they are to use when spending against these funds.

The research and professional development funds are intended to support teaching-and-research activities. The University policy on the use of research and professional development funds (including a list of eligible and non-eligible expenses) is found at [http://facultyhandbook.nd.edu/university-policies/use-of-discretionary-funds-policy](http://facultyhandbook.nd.edu/university-policies/use-of-discretionary-funds-policy).

Endowed professors are expected to cover eligible expenses such as professional travel and the purchase of supplies and equipment from their Research and Professional Activities Accounts. The College will pay for the initial charge for a computer, but endowed chairholders are expected to buy subsequent computers
from their funds.

Endowed professors may request reimbursement for the purchase of supplies and equipment or for travel related expenses through the new TravelND expense reporting system (https://travel.nd.edu/). You will find instructions to set up your initial Profile, as well as a Quick Reference Guide to walk you through all steps necessary to request reimbursement. Should you need any assistance in setting up your profile or in completing your form, you may contact the Procurement Help Desk at 631-4289.

Endowed professors may also request a pro card that is linked directly to their Research and Professional Activities Accounts—this allows them to charge supplies and equipment directly to the credit card. They can obtain an application for a procurement card from the Dean’s Office or the Controller’s Office.

The endowed chairholder is the budget administrator on the Research and Professional Activities Accounts. Accounts should be reconciled on a monthly basis. This is possible through the GLez system on InsideND. GLez is located under Administrative Tools. If an account is overdrawn, the faculty member is obligated to pay the University the overdrawn funds; in rare circumstances, an overdrawn account may be paid back by the next year’s allocation. In such a circumstance, a plan for responsible spending must be prepared by the chairperson and approved by the Office of the Dean, so that such an event remains a one-time occurrence. Fund balances remaining at the University’s fiscal year end (June 30) are carried forward to the following year. In those rare cases, where a fund has a substantial balance, the University has traditionally chosen not to replenish the fund until it is spent down.

The use of endowed funds to enhance departmental events, recruit graduate students or support visiting scholars is greatly appreciated. Those endowed professors moving to emeritus status should note that the balance remaining in their account at their retirement date will continue to be available for use in retirement until the fund balance is exhausted. This policy does not apply if a faculty member accepts a position at another university; in such cases, the entire
account is swept up and is no longer available to the faculty member.

Unless other written arrangements are approved by the dean, departing faculty members with Research and Professional Activities Accounts balances will be limited to $3,000 in applicable expenditures until his or her effective separation date. This policy does not apply to faculty becoming emeriti who are covered under a separate emeriti policy and procedure.

Please feel free to contact the Senior Director of Finance and Administration or the Staff Accountant with any questions concerning these accounts.

5.2.9. Computer Purchases

Faculty who purchase a computer unit using funds from their Research and Professional Activities Accounts are required to purchase their computer through ALCO (Arts and Letters Computing Office). This includes iPads, tablets, and similar devices. ALCO staff will assist in the setup and support of the unit. The University Policy on the purchase of computers can be found at http://policy.nd.edu/policy_files/Computer%20Purchase%202014.pdf

The University is not obliged to reimburse the faculty member for the purchase of a unit from non-approved vendors or purchased outside of the University Computer Purchase Policy.

If you buy a computer with funds from a Research and Professional Activities Accounts, the computer belongs to the University. You will eventually need to return it to ALCO.

For information on ALCO see http://www.nd.edu/~alco/.

5.3. Space

5.3.1 Administration of Space

The Dean’s Office College Space Management Committee is responsible for the administration and planning of departmental office space and faculty office space. Any renovations must be approved by the Dean’s Office. Department
chairpersons and directors do not have the authority to allocate any faculty or department office without conferring with the Dean’s Office. The College has appointed a Facilities Administrator to manage this function.

5.3.2. **Offices**

Faculty office assignments are based on the faculty member’s department, affiliation, and/or assignment. When applicable, the Dean’s Office will collaborate with the Department Chairs on specific assignments. The following notes eligibility:

*Regular Faculty* members are guaranteed an office by July 27th (note: if that date falls on Saturday or Sunday, the date would be the following Monday), if the Dean’s Office has received this notification by April 30th.

*Emeriti/ae Office Space:* The College shall provide emeritus faculty with semi-private office space based on availability of space and the necessity of providing such space to support the retired faculty member’s teaching and research needs.

*Visiting Faculty* who teach within departments will be provided a shared office space as available. There is limited space for this purpose and there may be occasions when this is not possible.

*Adjunct Faculty* are not provided office space as the College is simply not resourced for this accommodation.

*Graduate Student* shared space may be available on a year-to-year basis to be decided in August after all other space has been allocated.

5.3.3. **Furniture/Office Accessories**

Requests for minor furniture and office accessories are done through the departments with the approval of the Dean’s Office. It is expected that academic departments will cover these costs (endowed professors and faculty with Research and Professional Activities Accounts may be asked to cover the cost of some items, especially if they are above the norm). The complete Non-Project Minor Furniture Policy may be found under the Policies section at the end of this
5.3.4. **Renovations**

Requests for space renovations are submitted annually through a space survey administered by the Academic Space Management Department (ASM). These survey items are included as part of a department’s Annual Report Requests and can be formally submitted in the Facilities/Space section of this report.

Appropriate requests will be incorporated into the campus-wide ASM process by the Dean’s Office and prioritized by the College Space Management Committee which includes: the Assistant Director of Facilities and Academic Space, Sr. Director of Finance and Administration, Program Manager of Academic Space, and the three divisional Associate Deans.

Safety is the first priority in addressing ASM renovation requests. Lab space, departmental needs, classroom needs, and building improvements are also considered. Requests are then prioritized and matched strategically within the context of the College’s broader priorities and goals. The requests from each College are reviewed by the Vice President and Associate Provost and the Director of Academic Space Management. At this point, the requests are again prioritized based on the availability of funds and the still broader University goals and objectives.

Under the direction of the Provost Office, the Academic Space Management department then determines which projects are approved and notifies the Colleges in the middle of the Spring Semester.

5.3.5. **Laboratory Space**

Many of our new and existing faculty members in the social sciences require laboratory space for their research.

*New Faculty:* Once a candidate has accepted a job offer, early notification to the Dean’s Office is imperative in order to have the lab space ready by the negotiated date. Please e-mail Matthew Fulcher and Associate Dean James Brockmole. Currently we do not have a mechanism in place that enables us to guarantee lab
space. However, the Dean’s Office will make every effort to make the availability of lab space possible by working with the department and the new hire to articulate the location, timeline, and design of the lab. Please advise us by March 1 (earlier if possible) of any potential lab space needs.

Existing Faculty: As grant requests are submitted, please notify the Dean’s Office if they will require lab space. Provide as much detail as possible. Contact Matthew Fulcher and Associate Dean James Brockmole. Currently we do not have a mechanism in place that enables us to guarantee lab space. However, the Dean’s Office will make every effort to make the availability of lab space possible by working with the department and the faculty member to articulate the location, timeline, and design of the lab.

5.4. Office of Communications

5.4.1. Office of Communications
The Office of Communications provides strategic planning and communications services to the College of Arts and Letters at the University of Notre Dame. One of our primary goals is to assist in promoting the many activities and accomplishments of the College’s students, faculty, administrators, and staff. We offer a variety of strategic consulting, editorial, and creative services as well as referrals when we are unable to take on additional projects in-house. Feel free to contact director Kate Garry at KateGarry@nd.edu or 631-4269 to discuss your communications needs or to share potential story ideas.

5.4.2. The Center for Creative Computing
The Center for Creative Computing (CCC) began in 2003 as a joint venture of the College and the Office of Information Technologies. The CCC provides leadership and resources to foster the use of specialized and advanced computing technologies in the arts, humanities, and social sciences. It thus has a very different mission from ALCO, which provides standard desktop support. The Center supports digitally based projects in the arts; film, video, and television production; theatre arts; electronic music and sound; language and literature; and
wider technology-related interests in the College.

The CCC is staffed by a Director, two senior technicians, and an administrative assistant and offers learning spaces in two different locations: the Riley Design Studio and Digital Imaging Studio in Riley Hall of Art & Design, which primarily supports student and faculty research in the Department of Art, Art History and Design; the Video Edit Suites and the CAD (Computer-Aided Design) and 3D Design Studio in the DeBartolo Performing Arts Center, which enhance work in the Department of Film, Television, and Theatre.

The CCC awards research-support grants each year to groups of faculty or faculty-student teams for digital-based projects and scholarly initiatives that integrate digital technologies in research or teaching environments, sponsors an ongoing series of lectures, and helps to underwrite departmental initiatives related to creative computing.

5.5. Administrative Communication

All faculty members are expected to have active e-mail accounts. A faculty member may petition the departmental and College for permission not to activate an e-mail account. Faculty members receiving such a dispensation should designate a staff person to receive email messages on their behalf.

5.5.1 University Scheduling

Within the College of Arts and Letters, all deans, department chairpersons, and directors utilize Google calendaring to schedule meetings, classes, free time, etc. Doing so greatly improves the ease of scheduling meetings.

If you have not already set up your Google calendar, please contact the Arts and Letters Computing Office (ALCO) or the OIT Help Desk to do so.

5.6. Special Services for Faculty

5.6.1 Arts and Letters Document Delivery Service
The College of Arts and Letters, in conjunction with the University Libraries and the Office of Information Technology, offers the Document Delivery Service to all Arts and Letters faculty. This service provides free, daily delivery of up to three items (books and articles) to more than 25 departments and institute offices. See the Website at http://www.library.nd.edu/docdel/. The photocopying expenses associated with this delivery service are absorbed by the Hesburgh Library and the College of Arts and Letters.

5.6.2 Faculty Support Services

The College provides Faculty Support Services through numerous channels:

The Faculty Services Office (232 Decio Faculty Hall) provides general clerical support as well as professional correspondence and scholarly manuscript preparation. For interested faculty, hand-held dictation equipment and dictation tapes are provided at no cost for transcription use. The College's Design, Copy and Logistics Services (DCL) is located in 301 O’Shaughnessy Hall. DCL provides full-service black-and-white and color duplicating, print, and design facilities as well as other faculty logistics services. A complete description of available services can be viewed at http://dcl.nd.edu/.

The Arts and Letters Computing Office (ALCO) provides strategic planning, consultation and support to College faculty, administrators and staff. ALCO is located at 251 O’Shaughnessy and can easily be accessed via email, the Web, or by telephone. Support services include desktop support, hardware and software acquisition and inventory management. ALCO works in concert with other information technology units on campus including the Office of Information Technologies to ensure alignment with campus information technology services and direction. To report computer problems please call ALCO at 631-7021 or the OIT Help Desk at 631-8111.

PART SIX: DEVELOPMENT

6.1 Stewardship
As a reminder of our obligation to steward effectively contributions made to Notre Dame, the University adheres to the following guidelines:

- All gifts should be acknowledged in a timely and personal manner. The department chair or program director will receive notification of gifts through an electronic monthly giving report sent to the senior administrative assistant in the unit on the 5th of the month. If any gifts were received by the unit, they will be listed here (the report will be blank if no gifts were received). Every new gift to the department should be acknowledged with a letter from the chair or director, following the procedure distributed to senior departmental administrative assistants.

- A contribution accepted with a restricted purpose must be used for that purpose.

- If the University finds itself unable to utilize a contribution for its stated purpose, this should be communicated to the Academic Advancement Director so that the possibility of an alternative usage can be arranged or the contribution returned.

- Whenever feasible, and especially with endowment gifts, annual “impact” reports should be given to the donor.

- Proper recognition should always be given to the benefactor, and public recognition must be approved by the donor. In the case of lecture funds, please include acknowledge sponsorship of the fund on any marketing materials/posters and invite the benefactor to attend the lecture. The Academic Advancement Director will assist in issuing the invitation.

- The value of any “substantial” benefits as a result of contributions must be reported to each contributor.

- Contributions will be accounted for using universally accepted accounting standards, allowing for maximum efficiency and productivity of each gift.

The Office of Development, through its division of Stewardship Programs, has guidelines governing how we steward, recognize, and cultivate donors of various giving levels. Formal stewardship programs exist for leadership donors ($100,000+) who support undergraduate scholarships, graduate fellowships,
endowments for excellence, endowed professorships, library collections and services, and endowed undergraduate research funds. A series of publications, recognition events, annual reports, as well as tokens of appreciation and public recognition, are connected with each program.

College members are asked to assist in these important stewardship activities. Endowed professors submit a brief annual report on their scholarship, research, awards, etc., while fund administrators are asked to share information on how endowments for excellence and undergraduate research funds are spent annually. Requests for these materials and instructions on how to submit them will be sent to you electronically in the spring. These summaries are included in official University correspondence from the Provost. College representatives may also be asked to assist with recognition events and publications as needed.

The Academic Advancement Director coordinates stewardship in Arts and Letters in collaboration with the Office of Development. Fund administrators and chairs are requested to copy the Academic Advancement Director on all correspondence to donors and also provide copies of annual stewardship reports to donors. Any questions regarding stewardship, fund restrictions, or communication with donors can be directed to the Academic Advancement Director.

**PART SEVEN: COLLEGE COUNCIL AND ARTS AND LETTERS COMMITTEES**

7.1. **Elections**

The College of Arts and Letters conducts elections biannually: in September to fill any unexpected openings on committees (for example, to replace faculty who have left the University or who are on leave) and in March to replace faculty who have completed their terms of service. Many College and University committees are comprised of faculty who serve staggered, three-year terms, half of whom are in appointed slots and half of whom are in elected slots. For information about selected, standing University committees, please see Article IV “The Organization of the Faculty” (Sections 3 - 6) in the *University of Notre Dame Faculty Handbook* at [http://facultyhandbook.nd.edu](http://facultyhandbook.nd.edu).
A listing of Arts and Letters faculty members currently serving on Arts & Letters committees, as well as those serving on University committees are located on the College’s website https://al.nd.edu/assets/204473/arts_and_letters_cmt_roster_2016_2017.pdf and https://al.nd.edu/assets/204474/univ_cmt_roster_16_17.pdf.

The Arts and Letters Nominating and Elections Committee oversees elections in the College; the Sr. Administrative Assistant to the Associate Dean for the Humanities and Faculty Affairs provides the Committee with administrative support, maintains the elections files, and monitors the results of all committees. The election process begins when the Nominating and Elections Committee sends to the entire Arts and Letters faculty an e-mail call-for-nominations note that outlines the list of College and University offices to be filled along with information about those eligible to stand for election and vote. The Nominating and Elections Committee strongly encourages self-nominations. All voting is done electronically. The Nominating and Elections Committee certifies the elections, notifies the candidates of the results of their individual elections, and then sends a complete listing of the election results, via e-mail, to the entire Arts and Letters faculty.

7.2. Arts and Letters College Council

The College Council of each undergraduate college consists of an equal number of *ex officio* and elected members. The *ex officio* members of each undergraduate college consist of the Dean of the College, Associate and Assistant Deans, the chairpersons of all departments under the jurisdiction of the College, and any other administrators designated by the respective College Council. The Arts and Letters College Council consists of the deans, the chairpersons, the Director of the College Seminar Program, the Director of ISLA, the Director of the Medieval Institute, an equal number of elected faculty members, and four student members (two undergraduate students and two graduate students.) Each year approximately one-third of the elected faculty members rotate off of the College Council.
Beginning in the 2014 fall semester, the Arts and Letters College Council established the following standing committees: Agenda, Undergraduate Studies, Graduate Studies, Library and Research, and Faculty Affairs. A detailed description of the standing committees may be found at [http://al.nd.edu/assets/140640/standing_committees_college_council.pdf](http://al.nd.edu/assets/140640/standing_committees_college_council.pdf)

The duties of the College Council are outlined in Article IV, Section 4 of the *Academic Articles*. The meeting schedule for the upcoming academic year is posted on the College’s administrative calendar. If you have suggestions for agenda items, please contact the Dean or the Executive Administrator to the Dean.

### 7.3. Arts and Letters Committee on Reviews and Promotions for Professional Specialists

The Committee on Reviews and Promotions for Professional Specialists meets as needed each fall semester in order to review the position reviews and the promotion packets of professional specialists who would like to be considered for promotion; in addition, this committee reviews all applications for renewal or promotion by special professional faculty in units without a departmental CAP. The Committee is an advisory committee to the Associate Dean for the Arts.

The Committee consists of nine elected faculty members: one associate or full special professional faculty member (SPF) from the Division of the Arts; one associate or full special professional faculty member (SPF) from the Division of the Humanities; one associate or full special professional faculty member (SPF) from the Division of the Social Sciences; two full SPFs at large from the College; and four tenured, teaching-and-research (T-TT) faculty members elected at large from the College. The committee selects its own chairperson. The faculty members serve staggered three-year terms. The electing body is the entire special professional faculty of the College.

### 7.4. Arts and Letters Dean’s Fellows Program

The Arts and Letters Dean’s Fellows Program is a student group that works on
diverse and various projects, including enhancing student-faculty interaction and improving services to students. The Associate Director for the Office for Undergraduate Studies, along with the other assistant deans, mentors the Dean’s Fellows throughout the academic year. Each year two Dean’s Fellows will serve one-year terms on the College Council.

7.5. Arts and Letters Honesty Committee

In accordance with the University’s Academic Code of Honor, each collegiate unit is charged with forming a committee to adjudicate suspected infractions against the Honor Code. The Arts and Letters collegiate committee normally is composed of four College faculty members (including the chair of the committee) and 7-9 students who must be enrolled in the College of Arts and Letters. The committee chair facilitates all matters concerning the Honor Code and serves as a point-person for the college faculty who suspect an honesty infraction has occurred. The chair advises faculty regarding the process for using an Honor Code Violation Report and, if that is not possible, on the necessity of holding an Honesty Hearing. When a hearing is deemed necessary, the chair of the collegiate committee then appoints two faculty and three students from among the members of the collegiate committee to preside at the hearing and to submit a report on the outcome of that meeting.

PART EIGHT: COOPERATION WITH OTHER UNITS ON CAMPUS

8.1 Admissions

We work with the Assistant Provost of Enrollment, in helping to attract the best prospective students to Notre Dame. For the past few years every admitted student who has indicated an interest in Arts and Letters has received a letter from the Dean, and departments have followed with letters or phone calls of their own outlining exciting opportunities for study in a particular discipline.

8.2 Transition from First Year of Studies

Since 2009-2010, the College Council has partnered with the Undergraduate
Studies Office and the First Year of Studies to devise ways of providing a substantive exposure to a major field early in the first year.

8.3 Kaneb Center for Teaching and Learning

Departments are strongly encouraged to take advantage of the variety of opportunities for development that are offered by the Kaneb Center for Teaching and Learning. The Center provides assistance to entire departments as well as to individuals, and it offers a rich array of workshops to help faculty with their teaching, including, for example, developing more student-centered courses and using one’s preparation time more efficiently. Although the Center is a good resource for faculty members experiencing teaching difficulties, the purpose of the Center is to advance pedagogy on our campus.

8.4 The Career Center

The Career Center at the University of Notre Dame is dedicated to the development and implementation of innovative programs and services that promote life-long career management skills for students and alumni. By cultivating multi-faceted partnerships/networks, their staff is committed to providing the resources for students to explore diverse career opportunities.

The Career Center has a number of initiatives that help Arts and Letters students, including increasing the outreach to Arts and Letters students, developing student interest in career opportunities, building the alumni network, and establishing a “world-class” internship program. It is a good idea for faculty who are in advising roles, at the beginning of each semester, to reinforce the diverse array of career opportunities available to Arts and Letters students who may not be aware of potential internships and full-time jobs.

For resources available through the career center see: http://careercenter.nd.edu/for-undergrads

8.5 Award of Appreciation
In 2002-2003, the College of Arts and Letters introduced the Award of Appreciation. It is designed to honor an outstanding colleague outside the College of Arts and Letters whose work adds immeasurably to the College and enriches its life. Past winners include: Holly Rivers, Assistant Director, Kellogg Institute for International Studies (2014); Rev. William M. Lies, C.S.C, Vice President for Mission Engagement and Church Affairs (2012); Kevin Barry, Interim Director, Kaneb Center for Teaching and Learning (2011); M. Jean Gorman, Senior Philanthropic Adviser and Louis M. Nanni, Vice President, University Relations (2010); Scott Malpass, Vice President and Chief Investment Officer (2009); Diana Matthias, Curator, Snite Museum of Art (2007); Ani Aprahamian, Professor and former Chairperson of Physics (2006); Matthew V. Storin (2005), former Associate Vice President for News and Information and Adjunct Professor of American Studies; Sr. Kathleen Cannon, O.P. (2004), Associate Dean in the College of Science, Concurrent Associate Professor in the Department of Theology; Alexander J. Hahn (2003), Professor of Mathematics, Co-Director of the Glynn Family Honors Program, and Director of the Kaneb Center for Teaching and Learning; Lee J. Svetie (2002), Director of the Notre Dame Career Center.

**RESOURCES FOR NEW CHAIRPERSONS**

**CHAIRING A DEPARTMENT**

**A. DEVELOPMENT AND OPPORTUNITIES**

The position of department chairperson is one of the most important administrative posts in the University. The chairperson is the contact point for both faculty and administration and serves as the bridge between the two. The chairperson is responsible for seeing that the vision and mission of the University and department become a reality. The best chairpersons are enthusiastic about, and supportive of, their department’s mission and values. They have high and clear expectations of colleagues and help them to reach their greatest potential. They listen to and nurture the good ideas of faculty members, staff, and students. They are generous in thanking others, even for their daily contributions, and they take genuine joy in the success of others. They are ambitious and creative on behalf
of the department, seeking a whole that is greater than its many parts. They are fair, diplomatic, and consistent toward every member of the department. Chairpersons must take a holistic interest in all three areas of the profession (scholarship, teaching, and service), and they must cultivate a climate that embraces common goals and a collective identity even as different perspectives are consistently weighed.

Disciplinary organizations, such as the Modern Language Association, sponsor workshops for new and experienced chairpersons. Two organizations offer general workshops for chairpersons: The Council of Colleges of Arts and Sciences (see http://www.ccas.net/i4a/pages/index.cfm?pageid=1) and the American Council of Education (see http://www.acenet.edu). Either the Office of the Provost or the College will cover the costs of such a workshop for any chairpersons who attend. Please contact the Dean or your divisional dean if you are interested in attending such a workshop. If you would like to visit another campus to meet with administrators and teacher-scholars of departments that have impressed you from afar with their innovations and strategies for excellence, funding should be available, although we may ask your department to share some of the costs. Please send your proposals directly to the Dean or your divisional dean.

There are numerous contemporary publications on leadership in American higher education. Of particular interest to you may be The Department Chair as Academic Leader, by Irene W. D. Hecht, Mary Lou Higgerson, Walter H. Gmelch, and Allan Tucker (Phoenix: Oryx, 1999); and The College Administrator’s Survival Guide , by CK Gunsalus (Harvard, 2006).

B. DEPARTMENT MEETINGS AND MINUTES

Department chairpersons are responsible for running department meetings. Every department should have a scheduled monthly meeting to conduct business. It is vitally important to run an efficient and productive departmental meeting. Here are some suggestions to assist you in running an effective meeting:

- Send out the announcements in advance.
- Have a written agenda. You should include all major issues (apart from personnel matters) confronting the department or College, e.g., curricular revisions, requests
for faculty lines, or grade inflation.

- You may want to combine some recurring topics, e.g., curriculum.
- Assign major tasks to committees that can discuss the issues and bring proposals to the department for discussion and a decision.
- Follow Robert’s Rules of Order or a system that promotes exchanges by different faculty and does not permit a handful of faculty to dominate the discussion.
- Create an atmosphere in which faculty feel free to air their views, including junior faculty.
- Do not leave issues open indefinitely.

The department chairpersons are responsible for providing electronic copies of the minutes of department meetings to those on the following list. Please note that this list is not applicable for Committee on Appointments and Promotions (CAP) minutes.

1. Rev. John I. Jenkins, C.S.C., President – Sgotsch@nd.edu
2. Thomas G. Burish, Provost – Leichty.1@nd.edu
3. Christine M. Maziar, Vice President and Senior Associate Provost - Maziar.1@nd.edu
4. Hugh Page, Vice President and Associate Provost for Undergraduate Affairs – hpage@nd.edu
5. Maura Ryan, Vice President and Associate Provost for Faculty Affairs – mryan@nd.edu
6. J. Nicolas Entrikin, Vice President and Associate Provost for Internationalization – jentriki@nd.edu
7. Laura Carlson, Dean, Graduate School – Icarlson@nd.edu
8. John McGreevy, I. A. O’Shaughnessy Dean – McGreevy.5@nd.edu
9. JoAnn DellaNeva, Associate Dean – jdella@nd.edu
10. Peter Holland, Associate Dean – pholland@nd.edu
11. Margaret Meserve, Associate Dean – meserve.1@nd.edu
12. James Brockmole, Associate Dean -- jbrockm1@nd.edu
13. Robert J. Becht, Senior Director of Finance and Administration – Becht.1@nd.edu
14. Matt Zyniewicz, Executive Administrator to the Dean – mzyniewi@nd.edu
15. Kate Garry, Director of Communications and Marketing – kategory@nd.edu
16. Maria Di Pasquale, Academic Advancement Director – mdipasqu@nd.edu
17. Your Department Faculty

Departmental minutes are important records. Minutes should reflect accurately the issues, arguments, and the conclusions that the faculty reach. Minutes should not include discussion of particular candidates for faculty positions or any confidential personnel issues.

C. MANAGING STAFF

Chairpersons depend heavily on the staff. It is imperative to help them to develop to their potential. This is best done through a healthy relationship in which expectations are clear and honest feedback is provided. Performance reviews of staff persons should be fair, detailed, and constructive. If you have not reviewed a member of the staff before, please contact the Senior Director of Finance and Administration or Human Resources for advice. See also section 5.1.1. above for information re: University procedures for staff performance reviews. We should encourage staff who want to take University-sponsored workshops in areas for which they are developing responsibilities.

The Senior Director of Finance and Administration holds monthly operations meetings for all departmental staff. At least one staff member from each department is required to attend these meetings.

D. MENTORING FACULTY

Mentoring has been identified by recent University committees as the single issue that most affects faculty productivity as well as faculty retention, particularly for women and minorities. Faculty members seek guidance about professional matters, including preparing for the tenure process, publishing, participating in conferences, teaching, and so forth. Department chairpersons should ask entering faculty about the type of mentoring they would like—formal or informal, within the department or from outside—and discuss the new faculty member’s concerns about publishing, teaching, and so forth.

The chairperson may also want to ask incoming faculty whether they have a preference or suggestion regarding who might serve as a mentor. It may be appropriate in some cases to suggest one mentor for research advice and another for teaching advice. In small departments, it may even be useful to ask for mentors outside the department and even,
when necessary, outside the University. In interdisciplinary units, it may be important to ask someone in the discipline who is housed in another department in the College to serve as a research mentor. It is a good practice to meet individually with new faculty at the end of the year to assess the effectiveness of the mentoring.

There are a number of definitions of a mentor. Most state that a mentor should “provide support, information, background, and encouragement, and (be) available to discuss any aspect” of the job requirements. Some also include an element of psychosocial support in their definition. At least two specific types of mentoring can also be identified: *instructional* mentoring involves helping faculty gain information, for example, on the quality of journals and academic presses and on appropriate grant agencies for a given project; *facilitative* mentoring is more hands-on and involves giving detailed feedback. A facilitative mentor asks such questions as, “What can I do to help you move your book along?” or “Let’s brainstorm on what might make your tenure case stronger two years from now, and then we can focus on what is most realistic?” Facilitative mentoring can also be evident in teaching, especially when visits are done over a series of semesters and a series of types of courses.

In some departments in Arts and Letters, the chairperson serves as the designated mentor. In these cases, the chairpersons feel that because they are responsible for evaluating and providing feedback to faculty, they are best suited to provide suggestions, guidance, and overall mentoring to their junior colleagues. They can also ensure that the mentoring is consistent across faculty in the department. One danger in this arrangement, however, is that the line between mentoring and evaluating can be blurred. Regardless of who serves as the mentor (e.g., chairperson, an assigned senior colleague, someone the new faculty member finds him or herself, or several faculty members), mentors should:

a. *Establish an effective relationship from the beginning.* Ideally, mentors should be assigned prior to the arrival of new faculty members so that new faculty have a designated person to whom they can ask questions prior to coming to campus. Initially, it makes sense for meetings between the mentor and mentee to take place more frequently (e.g., once a month) when the faculty member is just starting. As the mentee matures, the need for as many interactions typically decreases, though meetings should still occur several times.
throughout the year.

b. *Explain the criteria for achieving tenure and promotion.* Information should be available in written form that comes from the department’s CAP document. But the mentor can also help explain the information in more detail and tailor it to the new faculty member’s circumstances. There should be some discussion about teaching expectations (formal and informal), research productivity (publication venues, publication rate, grants and fellowships, etc.), service, and the allocation of time to all three of these areas. Sometimes new faculty members benefit from receiving help with creating timelines for completing specific projects. Mentors, chairpersons, and members of CAP should make sure that the expectations for and information about tenure and promotion are consistently presented to new faculty.

c. *Advise the mentee about documents and materials s/he should gather that will eventually be presented to the departmental CAP for evaluation at the time of renewal and promotion.* The mentor can review CVs, syllabi, teaching portfolios, and other materials. They may also make classroom visits and provide the mentee with feedback about teaching. Moreover, the mentor should review materials on a regular basis, and not wait until the time of renewal or tenure.

d. *Help the faculty member find resources* such as the Kaneb Center for guidance with teaching; the Institute for Scholarship in the Liberal Arts for help with identifying potential external funding sources and writing grant proposals; and the Dean’s Office (i.e., the Associate Dean for Faculty Affairs) for issues related to policies, procedures, or simply as a source of additional mentoring. The mentor can also serve as a source of information regarding University and College policies. The mentor may also help the mentee identify colleagues who could review manuscripts prior to submission for publication review, particularly if the mentor is not in the same field as the mentee. The mentor can also serve as a sounding board if there are any problems. The mentor can help think through problems with the new faculty member and serve as an advocate if necessary.

e. *Help the faculty member network* with colleagues inside and outside the
department. If they are in the same field, the mentor can also help the mentee meet colleagues in the discipline outside of the University.

f. *Mentor and Chairperson/CAP should have consistent communication.* The mentor should be made aware of any concerns that the department has for the mentee so that the mentor is better able to advise the mentee about professional issues. The mentor should also review mentoring activities with the chairperson. If for some reason the mentoring relationship is not going as smoothly as desired, a change should be made.

**E. CULTIVATING EXCELLENCE IN TEACHING AND RESEARCH**

As a residential liberal arts college and a dynamic research university, Notre Dame sometimes wrestles with the tension between teaching and research. There are at least four overlapping strategies for striking a balance: First, we should consistently articulate the intersections of teaching and research and the University’s commitment to excellence in both areas. Second, we should make all hiring, tenure, and promotion decisions by fully attending to both categories. Third, we should find and cultivate colleagues who excel in both and who can thereby act as role models for our junior colleagues. Finally, we must reward faculty for their contributions to both spheres. We must recognize the value of research, but acknowledge as well that good teaching and faculty mentoring of students are time-consuming endeavors worthy of recognition when merit raises are calculated.

**F. MEETINGS OF DEANS AND CHAIRPERSONS**

Meetings of deans and chairpersons are scheduled on a regular basis, usually once per month. *All are scheduled from 9:30 to 11:30 a.m. in 119 O’Shaughnessy Hall* (*with the exception of the Kick-off meeting on Thursday, Sept. 3 at 3:00-4:30 p.m.)*

- Thursday, September 1, **2016** (Kick off meeting)
- Monday, September 26
- Monday, October 10
- Monday, November 14
- Tuesday, December 13
- Monday, January 23, **2017**
- Monday, February 20
- Monday, March 20
- Monday, April 10
If there is an item you would like to put on the agenda, please contact the Executive Administrator to the Dean. On occasions where there are special concerns for one of the divisions, we will call a meeting of the chairpersons for that division; however, under normal circumstances these will not displace the regular meetings of the chairpersons.

We encourage department chairpersons to share their best practices with their colleagues in these meetings. If you have a practice that you would like to share, please discuss it in advance with the associate dean who is responsible for that area.

G. COLLEGE COUNCIL
Chairpersons serve as *ex officio* members of the College Council. Chairpersons have the obligation of keeping colleagues in their department informed of developments and discussions in the College Council and in the Meetings of Deans and Chairpersons.

Chairpersons should also remind faculty that the minutes of all College Council meetings as well as all action items from the meetings of deans and chairpersons are posted on the College web page and may be accessed at [http://al.nd.edu/about/the-faculty/college-council/](http://al.nd.edu/about/the-faculty/college-council/).

H. ACTING CHAIRPERSONS
Besides grooming a successor, every chairperson needs to appoint someone to serve as acting chairperson when you are either out of town and not easily reached or find yourself temporarily unable to perform your duties. In some cases the DGS or associate chairpersons (T-TT), or a former chairperson can serve in this capacity. Please notify your divisional associate dean of your choice by August 15th. In the rare case that a chairperson needs to be away for an extended period of time, arrangements will be made to compensate the acting chairperson. Please see the Dean of the College or your divisional associate dean to work out these arrangements in advance.

I. PUBLICITY
Chairpersons should work with the Communications Office to publicize the research achievements and activities of faculty in the College. These offices can provide a range
of assistance from preparing news releases to highlighting faculty expertise for the national media.

J. PERFORMANCE REVIEWS FOR CHAIRPERSONS

Each year chairpersons and other senior administrators are asked to fill out an annual activity report that makes visible your accomplishments and continuing challenges in teaching, scholarship, and leadership. https://al.nd.edu/assets/174973/annual_report.pdf

In addition, the College has a policy of reviewing chairpersons during the middle of their term as a means of providing constructive feedback. We believe that it is important for chairpersons to receive input both from us and from their faculty. We want to congratulate chairs for the areas where they are strong and to assist them with the areas where improvement is desirable. To that end, regular faculty and staff are invited to share their impressions of their chair. This year we are introducing a new process for the evaluations: Google Forms. Google Forms allows the evaluation to be electronically completed and sent to the appropriate divisional associate dean. The associate dean will send an email requesting faculty and staff to complete the evaluation. The link to this form will be included in the email.

POLICIES

A. RESERVING COLLEGE CONFERENCE ROOMS

A.1 DEAN’S OFFICE CONFERENCE ROOM 100 O’SHAUGHNESSY USAGE

Only direct reports to the Dean of the College of Arts and Letters and their administrative assistants have rights to set up and hold meetings in the 100 O’Shaughnessy Conference Room.

Meetings held in the conference room must be conducted by a dean or direct report to the Dean or a direct report’s administrative assistant.

If the Dean of the College schedules a luncheon meeting, the Coordinator of Office Services will order the food and make other necessary arrangements. All other
individuals scheduling meetings in the conference room will have his or her respective administrative assistant order food or make other required arrangements. Drinks for meetings conducted are available in the 100 O’Shaughnessy kitchen refrigerator.

Phone conferencing, computer, and wide-screen TV services are available in the conference room. For assistance, the Coordinator of Office Services will make certain the appropriate services or person is contacted.

**Rationale:** This policy has been established to ensure the proper use and availability of the Dean’s Office conference facilities and to assure that the conference room is primarily available for the Dean and direct reports to the Dean.

### A.2 COMMON CONFERENCE ROOMS USAGE

Staff and Faculty of the College may reserve common conference room resources for academic/University purposes. Arts and Letters staff and faculty have access rights, through Google Calendar, to reserve 351 Decio, and 451 Decio. Only one staff member in each department has access rights to reserve 119 O’Shaughnessy and 131 Decio. If that person is not available, then Linda Brady is the backup person. To utilize any of these rooms, the room must be reserved through Google and the request must include:

1. A purpose,
2. The number of attendees, and
3. The name of the person running the meeting (if you are scheduling as a delegate for the person who will be running the meeting, please include your name).

_Please note:_ If you plan to have food at your meeting, please reserve time before the meeting for set-up and time after the meeting for clean-up.

This information should be included in the body of the request. In the event that a room has been reserved and the meeting is cancelled, you must delete the meeting from the calendar. A phone and computer are available in 119 O’Shaughnessy*. 131 Decio, 351 Decio and 451 Decio have phones but do not have any technology
included. Any other media needs must be secured by the meeting planner.

The use of these meeting rooms should be for the sole purpose of meetings, seminars or luncheons. **These rooms may not be used as classrooms.**

Failure to comply with this procedure may result in becoming ineligible to reserve room resources in the future.

**Rationale:** This policy has been established to ensure the proper use and availability of the various Arts and Letters meeting spaces.

*119 O’Shaughnessy is designated as a Dean’s meeting room and is available for use by staff and faculty only when not in use by the Dean. In the event that the use of the room has been approved by the Dean’s office and there is a sudden need by the Dean, you may be bumped from the room.*

**B. DEAN’S OFFICE INTERVIEW CHECKLIST FOR T-TT FACULTY CANDIDATES**

Departments are responsible for arranging campus interviews for T-TT candidates. No later than **24 hours prior** to the scheduled interview with the appropriate Dean, the following seven (7) items in a folder must be forwarded to the Dean’s Office for all interviewees being routed to the Dean’s office:

1. The candidate’s campus/interview itinerary
2. Most recent CV
3. Letter of application, if available
4. Copy of the job advertisement
5. An abstract of the candidate’s dissertation, if available
6. A brief narrative by the chair describing the rationale or support of this candidate
7. A label on the folder which includes:
   a. Name of Candidate
   b. Department
   c. Rank
   d. Date and Time of interview

Please check that all items are included in the candidate’s folder that is forwarded to the
Dean’s Office. If subsequent changes are made to the candidate’s itinerary after the folder is forwarded to the Dean’s Office, a revised itinerary must be sent as an attachment to the appropriate dean’s administrative assistant. Interview cancellations must be communicated ASAP via an e-mail or phone call to the appropriate dean’s administrative assistant.

**Rationale:** This policy has been established to ensure the Dean’s Office is prepared for faculty candidate interviews and that the appropriate dean has sufficient information and time to prepare for critical faculty interviews, which includes also helping to recruit candidates to departments.

**C. OFFICE CLOSURE NOTIFICATION AND APPROVAL**

Each College department, program, office, institute, or center must notify the Dean’s Office of its intent to close its office during normal College business hours (8am-5pm on regularly scheduled University business days). The notification shall include a rationale for the closure, details related to date and time of closure, and a request for dean approval. The notification and request should be made at least one week in advance of the intended office closure, notwithstanding unforeseen circumstances. The notification and request may be emailed to the Senior Director of Finance and Administration, or his or her administrative support, for processing and approval. Within two business days of the receipt of the notification, an approval or denial will be provided by the Dean’s Office.

**Rationale:** This policy has been established to ensure that departments maintain operations during critical times. The Dean’s Office must be notified and a dean must grant approval so that proper response and coverage can be established.

**D. OWNERSHIP, REIMBURSEMENT AND ENCRYPTION OF UNIVERSITY OWNED, SUPPLIED, OR SUPPORTED LAPTOP COMPUTERS**

Laptops that are purchased with University funds, whether directly or via reimbursement from research and professional development funds, remain the property of the University. In accordance with University policy, such laptops must be purchased through exclusive
vendor arrangements to ensure discount pricing and proper minimum configuration specifications. See https://buy.nd.edu/contracts/ for details regarding IBM/Lenovo as the exclusive provider of Windows laptops. The University also contracts with Apple for Mac laptops. Generally, only laptops which are owned by the University may take advantage of University software licenses.

The College supports the mandatory use of encryption technology to secure laptop computers. Any and all newly acquired College owned, supplied, or supported laptop computers must have hard-disk encryption enables. The Office of Information Technology through the Arts and Letters Computing Office has provided funding and support to implement this policy. This encryption policy applies to laptops purchased through the Computer Workstation Program (CWP), by departmental or College resources, with the use of research or research and professional development funds, and when a laptop purchase is reimbursed in any way with University funds. This policy applies to laptops, whether purchased through approved University channels or purchased personally and reimbursed later through University mechanisms.

**Rationale:** The University has obtained extraordinary advantages through quantity discount contracting with exclusive vendors and has massively increased supportability of computing technology by limiting computer additions to such exclusive vendors. This has created a more consistent platform across campus which can be more efficiently supported. The University is also better able to track computer asset acquisition for tax reporting purposes if new purchases can be restricted through specific vendor channels.

Encryption reduces the security risk associated with laptop loss. Given the portable nature of laptops, encryption is required so that laptops that are either lost or stolen will not create an undue information security risk in areas such as identity theft or misuse of other personal identifying information or University data and computing resources. Encryption does not degrade laptop performance and therefore the benefit of encryption far outweighs the associated costs.

Reference: See the website for University policies regarding information security: http://oit.nd.edu/policies/itpolicies/infosec.shtml.
E. PREFERENCE FOR DOUBLE-SIDED COPIES AND PRINTING

When practical, copies and printing should be made on double-sided paper. This is especially true for bulk printing and copying of larger materials or when significant numbers of copies are required. Network printers and copiers, and associated print drivers, should have default settings that initiate double-sided printing. The College recognizes that many personal printers and copiers do not have this capability. If you do not have the capacity to print or copy on double-sided paper, when bulk printing or copying is required, please forward such jobs to DCL Services for double-sided printing or copying.

**Rationale:** Reduced paper consumption is environmentally-friendly while at the same time reduces the College’s overall cost of copying and printing.

F. COLLEGE HONORARIA POLICY

College faculty are frequently requested by numerous entities to give talks, participate on panels, and generally participate or engage in academic-related activities across campus. College entities have requested guidance on whether honoraria payments should be offered, and if any, what amounts would be appropriate.

**Policy:** Generally, faculty are encouraged to take part in academic-related activities. These activities should be considered part and parcel with being a faculty member at the University and are a vital part of being a member of the intellectual community of our campus. Because this is a normal expectation for faculty, it is not necessary for College entities to offer honoraria for faculty participation. This is particularly true for University, College, or Department funded activities. College entities may desire to provide a small token as a ‘thank-you’ for participation. These should generally be no more than $50 in value. In line with University rules, if the token is in the form of cash or a cash equivalent, i.e. a gift card of any sort, the amount must be reported as taxable income. Token honoraria are by no means required.

Payment of honoraria by College entities is appropriate in two circumstances. First, it is proper to pay honoraria to non-ND faculty for participating in our academic-related activities. Second, in situations where outside funding has been provided to support a
specific academic-related activity, an appropriate honoraria may be paid. An example of this would be a foundation grant provided to fund a conference or colloquium where our faculty may be participants. Even though the grant is being managed by ND and the conference/colloquium may take place on campus, because there is an outside sponsor of the activity, our faculty (along with other non-University faculty) may participate in appropriate honoraria for their services. When honoraria are paid, amounts should not exceed what is reasonable and typical for the particular academic service.

G. EMERITUS OFFICE SPACE POLICY
The College recognizes the ongoing contributions that emeritus faculty provide to the intellectual life and activities of the College and its Departments. To facilitate active emeriti in their pursuit of such ongoing, valuable contributions, the College will provide emeritus faculty with shared, semi-private office space, based on availability, currently located in Flanner Hall. Retired faculty with emeritus status with a pre-retirement rank of endowed professor, full professor, associate professor, special professional specialist, or associate special professional specialist are eligible. Because of the limited pool of available offices, allocations of emeritus faculty offices will be determined by a committee comprised of the members and chair of the Faculty Affairs sub-committee of the College Council and two emeritus representatives elected to the Faculty Senate. This committee will meet to consider applications and allocate office space each spring, before March 31.

By February 15 each year, emeritus faculty or retiring faculty who wish to have an emeritus office in the upcoming year must make a formal request. The request form should be submitted to the Dean’s Office and should include a description of the faculty member’s teaching, research, and service activities and need for an office. The request process will be facilitated by the College academic space team, who will solicit additional comments from relevant department chairs, but all final determinations will be made by the Faculty Affairs committee (with the addition of emeritus representatives from Faculty Senate) as noted above.

After April 1, the College’s Academic Space Program Manager will contact all faculty who have been allocated emeritus office space to confirm office selection for the
upcoming year, and will notify those no longer eligible of move-out time frames and assistance.

Home option – upon request, retired faculty members will be provided assistance to relocate from a campus office to a local home address. The College’s Academic Space Program Manager will coordinate these moves. All local move requests will be honored.

H. POSTERS IN O’SHAUGHNESSY HALL

It has always been the College’s culture to allow posters to be placed throughout O’Shaughnessy Hall by departments, student groups, human resources, etc. In addition to providing valuable information, posters add to the vibe and eclectic feel of the College’s central administrative building – O’Shaughnessy Hall. Effective January 1, 2015, Arts and Letters departments are required to include an expiration date on the bottom right hand corner of posters being hung in O’Shaughnessy. Posters may be hung anywhere throughout the building – preferably on the bulletin boards - but may not be taped or tacked to any of the wooded walls. No posters or other hangings will be allowed in the Great Hall of O’Shaughnessy. Departments are responsible for removing posters that have expired. Posters left hanging beyond the expiration date or beyond the event date when no expiration is provided may be removed and discarded by the College. We ask that all posters remain untouched until the expiration or event date being advertised is passed.

Rationale: This policy has been established to ensure that posters are current and relevant. The policy is also intended to make those hanging posters responsible for their timely removal.

I. CAMPUS FURNITURE MANAGEMENT POLICY/PROGRAM

This policy applies to acquiring supplemental furniture/furnishings and removing and/or repairing existing work space furniture/furnishings located within a faculty office, lab, or department suite. Examples of new acquisitions include, but are not limited to, desk chairs, end tables, transaction counters, modesty panels, and file cabinets. Additionally, this policy applies only to smaller furniture items outside of the scope of a larger renovation, where furniture is a component of the larger renovation project. FurnishND, a Campus
Services furniture management program, serves as the primary vehicle for faculty and staff to utilize for acquisitions, removal, or repair requests. A guided form found at furnish.nd.edu must be submitted. A member of the FurnishND team will follow up within two business days to determine if campus resources can be identified first, before contracting the campus’ furniture vendor.

These furniture acquisitions are considered transactions between the department and the University’s Campus Services and, if needed, the primary furniture vendor. All new furniture purchases for the University will be administered through the University’s primary furniture vendor relationship (currently Business Furnishings). Furniture purchased with University funds (including any department discretionary and or faculty research accounts) must be procured through this mechanism and using the approved primary furniture vendor. Business Furnishings maintains an on-campus office located in the Maintenance Center (north side of campus) with limited office hours every week. The University has pre-approved Business Furnishings furniture products for campus purchases. These purchases must be procured through the buyND purchasing system and may not exceed $1,500. If the purchase exceeds $1,500, contact the Academic Space Program Manager in the Dean’s Office.

Form submittal process and sequence:

1. Department contacts FurnishND via furnish.nd.edu and submits a request form. The FurnishND team will assess the request and either (1). Cross-reference furniture requests with the existing University’s campus pre-owned furniture inventory, (2). Request a quote from the University’s primary furniture vendor, Business Furnishings, if used inventory cannot fulfill the request or if the request is for modular workstation pieces/panels, (3). Schedule a pick-up of unneeded furniture item(s) or (4). Schedule repair of broken furniture item(s).

2. If a new furniture purchase is determined to be the course of action, the vendor will submit a proposal by e-mail to the department.

3. Department must make vendor aware that they are in the College of Arts and Letters and that the Deans’ Office, kknoll@nd.edu, is to receive a copy of the bid if in excess of $1,500.

4. Department determines FOAPAL account which will be used for payment (e.g.
Department Discretionary Resource, Faculty Research Account, Department Unrestricted Accounts)

5. The Dean’s Office will send purchase approval to the department representative via e-mail for purchases that exceed $1,500.

6. The Department selects items and submits a purchase requisition in buyND, attaching the vendor’s bid as reference

7. Upon receiving purchase order, the vendor will order the item.

8. Vendor contacts department when order has arrived and arranges delivery and set up, if applicable

9. Department receives order in buyND to trigger payment

Of note: Consider lead-time when ordering new furniture. Delivery can take 4-8 weeks. The vendor may provide a more exact time-line depending on the item(s) ordered.

RATIONALE:

The FurnishND team will identify furniture solutions in line with the existing theming within the departmental or faculty office work space. Departmental approval is required for all customer selections of campus inventory furniture. When needed, the University will continue to collaborate with Business Furnishings, the primary furniture vendor, for purchases and to satisfy departmental requests.

When these purchase transaction are necessary, it is considered a transaction between the department and the vendor supplying the furniture. This puts the department/customer in direct contact with the furniture expert thereby offering the highest potential for purchase fulfillment, customer satisfaction, and process efficiency. The department may then follow the purchase from beginning to end to assure that it is accomplished in a timely manner and to the satisfaction of the department.

J. ARTS AND LETTERS TravelND APPROVAL PROCESS

The following provides a step-by-step process of the approval flow and criteria for the travelND expense reporting and reimbursement system. This is intended to provide guidance and support to those submitting reports as well as those reviewing and approving reports.
1. The faculty member or staff incurs expenses related to and supporting University teaching, research, or other business purpose using a Chase Travel card, other personal credit card, check, or cash.

2. Faculty or staff submits an expense report through the travelND system which includes all pertinent information, i.e. business purpose, receipts, etc. The expense report is coded and completed according to established travelND policies and procedures. See additional item #8 below.

3. The travelND expense report is submitted to the appropriate approving channel.
   a. For department faculty, reports should be submitted to the senior administrative staff person in the department office. Once reviewed and accepted, the report will be forwarded to the department chair for final approval.
   b. For reports coming to the Deans Office for approval, submission should be made to the College staff accountant. Once reviewed and accepted, the report will be forwarded to the Budget Administrator, Associate Dean, or Dean for final approval.
   c. Staff shall submit expense reports to his or her direct supervisor for review and approval.
   d. Non-departmental faculty shall submit expense reports to his or her designated director/supervisor for review and approval.

4. Senior administrative staff, the college accountant, and those providing review and approval for staff and non-departmental faculty shall review and accept expense reports by evaluating the following criteria:
   a. Review the report for completeness
   b. Is the correct foapal being charged.
   c. Does the foapal have adequate funding to support the expense report?
   d. What is the business purpose? Does it sufficiently describe the activity, reason, business purpose such that an outside party would understand the need to incur the expense for University purposes?
e. Are the account codes correct?
f. Are per diems versus meal expenses being handled properly?
g. Are proper receipts attached?
h. For conferences/meetings, are agendas attached?
i. Are attendees included for the business meals/meetings/gatherings?
j. For meals, is alcohol split to its separate account code?
k. Are any other necessary forms included, i.e. missing receipt affidavit?

5. If anything is missing, does not add up, needs to be corrected, or does not make sense, the expense report should not be accepted. Instead, the report should be sent back to the individual submitting the report with comment included.

6. If the expense report is complete, accurate, and provides sufficient information, the expense report should be accepted and approved and forwarded to the department chair or budget administrator for final approval or granted final approval and forwarded to Accounts Payable in the case of staff and non-departmental faculty.

7. Those granting final approval shall, at a minimum, review the business purpose, the foapal, and the nature of the expense prior to granting final approval. Focus should be on the sufficiency of the business purpose and the appropriateness of the expense. See item #9 below.

8. The individual submitting an expense report bears the responsibility to:
   a. Verify that all expenses being paid or reimbursed by the University are valid and conform to University policies and understand that requests lacking required documentation and/or explicit business purpose will be questioned and perhaps not be reimbursed.
   b. Attest that expenses submitted for reimbursement have not been previously paid through a prior submitted expense report, cash advance, or by an outside agency or other third party.
   c. Submit all required information to the University via an appropriate approver (via travelND) within 60 days of completion of travel or later of incurrence/payment of the business expense.
d. Retain accountability for ensuring all expenses are in accordance with University policies and sponsoring agency, if applicable.

9. Individuals authorized to provide final approval of expense reports are responsible to:
   a. Attest that the purpose of the expense is valid and directly related to University business.
   b. Request further documentation or explanation for expenses that appear to be excessive or unusual. Explanation of such expenditures must be included on the expense report.
   c. Approve the expense report to Accounts Payable on a timely basis (via travelND).
   d. Understand that while Accounts Payable may review the expense report, the primary responsibility for the appropriateness of expenditures rests with the individual submitter and the individual responsible for approval.

**Additional guidance on travelND expense reimbursement documentation**

The travelND system will result in timely reimbursements when the system is utilized properly. The two most important factors for timely reimbursement are (1) proper documentation and (2) a sufficient explanation of the business or University purpose justifying the expense. Both are critical and closely scrutinized, especially on federal grants and fellowships. For example, if submitting for reimbursement for a meal activity, the itemized receipt should be included (not just the credit card authorization), the people attending should be noted, and any alcohol included should be separated under its own code. TravelND provides an input field for business purposes. You should use that field to provide a business purpose explanation/justification which links the expense to a University purpose/need. When in doubt, opt for over-explanation of business purposes. The description of the business purpose should be of sufficient clarity and completeness that a third-party reviewer could readily understand the relationship of the expense to a university business purpose. Examples of inadequate descriptions and adequate descriptions include:

**Inadequate Descriptions:** attend conference; research; meeting; book research; collaboration; meet with colleagues; site visits; give a lecture; speaker
Adequate Descriptions:

- Attend Annual American Solar Scientists Conference
- Interview candidate for xxxx position
- Interview prospective PhD candidate
- Speaker for April 5 symposium on …. 
- Research for Brain Imaging project
- Give lecture on economic trends in Oregon
- Research for book on French influence in NW. Reviewed museum documents and …. 
- Collaborate with Jane Jones at USC about the Title IX impact on PAC 10 athletes for upcoming paper
- Meet with ….. to discuss …..

Common reasons why a travel ND submission may not be readily approved or will not immediately reimburse include:

- Missing conference agenda
- Receipts don’t show proof of payment (e.g., Expedia, Hotwire, Priceline, etc)
- Chase Visa travel card charges fed to Concur (to assist with data entry) are being mistaken as substitute for receipts – receipts are still needed.
- Concur e-receipt for flights are not enough in seeking reimbursement (if not charged to FOAPAL). Still need to prove cost was incurred either by linking travel card to Concur or including credit card statement if personal credit card was used.

For additional information on the University’s Travel, Entertainment and Business Expenses Policy, please see http://controller.nd.edu/assets/93684/travelpolicy_current.pdf
Schedules A and B on pages 29 and 30 are particularly helpful.