The Faculty Manual

St. Louis Campus

2024

3XEOLVKHG IRU WKH XVH RI SUHVHQW DQG SURVSHFWLYH PHP
E\ WKH DXWKRULW\ RI WKH 3UHVLGHQW DQG %RDUG RI 7U

The Faculty Manual of Saint Louis University

The Faculty Manual is a foundational document setting out, in many respects, the role of the faculty in University governance. It also specifies rights, powers, privileges, and responsibilities of faculty. Insofar as it does so, it is incorporated by reference in all contracts of employment between faculty and the University. All substantive modifications

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F /LPLWDWLRQV RI $XWKRULW\ «««««««««««
G :HL*JLKWQ WR 3URIHVVLRQDO 5HODWLRQV
)DFXOW\ 3DUWLFLSDWLRQ LQ $FDGHPLF 5HI
$FDGHPLF 5HDOORFDWLRQ «««««««««««««««
)LQDQFLDO ([LJHQF\ «««««««««««««««««
)DFXOW\ 5LJKWV XQGHU $FDGHPLF 5HDOOR
$SSHDOV GXULQJ $FDGHPLF 5HDOORFDWLR

IV. Periodic Review and Amendments« « « « « « « « « « « « « « « «

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I. Philosophy and Mission of Saint Louis University

A. The Nature and Purposes of the University

6DLQW /RXLV 8QLYHUVLW\ LV D SULYDWH &DWKROLF XQLYHUV

DQG 9LFH &KDLUSHUVRQ RI WKH %RDUG DQG PHPEHUV RI WKH ([HFXWLYH &RPPLWWHH 2WKHU ([HFXWLYH &RPPLWWHH P 7UXVWHHV IURP DPRQJ LWV PHPEHUV

UHVSRQVLELOLW\ IRU LPSOHPHQWLQJ WKRVH VWDQGDUGV 7KH
ZKR KDYH IDLOHG WR PHHW WKH DFDGHPLF RU SURIHVVLRQDO
IRU WKH ZHOIDUH DQG DFDGHPLF SURJUHVV RI VWXGHQWV LV

7KH 'HDQ FRQVXOWV ZLWK WKH 'HSDUWPHQW &KDLUSHUVRQV R
IDFXOW\ RQ DOO PDMRU PDWWHUV RI SROLF\ ZLWKLQ WKH &RO
GHFLVLRQV WKDW KDYH EHHQ PDGH 7KH 'HDQ LV HPSRZHUHG
DQG WR REWDLQ LQIRUPDWLRQ IURP 8QLYHUVLW\ VRXUFHV SH
VWXGHQWV 'HSDUWPHQW &KDLUSHUVRQV RU FRPSDUDEOH DGH
SHUVRQQHO RI WKH &ROOHJH RU 6FKRRO WUDQVPLW WKURXJK
IRUZDUGHG WR WKH 3URYRVW RU WR 8QLYHUVLW\ FRPPLWWHH
FRQVLGHUHG SRVLWLRQ RI WKH PHPEHUV RI WKH &ROOHJH RU
FRPPXQLW\ DQG UHSUHVHQWV WKH YLHZV RI WKH %RDUG RI 7
DQG WKH 3URYRVW WR WKH PHPEHUV RI WKH &ROOHJH RU 6FK
VWXGHQWV IDFXOW\ VWDII DQG DGPLQLVWUDWRUV

7KH 'HDQ LV UHVSRQVLEOH IRU WKH SUHSDUDWLRQ DQG DGPLQ
RI WKH &ROOHJH RU 6FKRRO ,Q IRUPXODWLQJ WKH EXGJHW IR
ZLWK WKH &KDLUSHUVRQV DQG WKH DSSURSULDWH FRPPLWWH
JURXS $IWHU FRQVXOWDWLRQ ZLWK WKH 'HSDUWPHQW &KDLUS
SURYLGHG LQ 6HF ,,, + WKH 'HDQ SUHSDUHV WKH EXGJHW R
6FKRRO RI 0HGLFLQH IRU VXEPLVVLRQ WR WKH 3URYRVW :KH
EXGJHWV WKH\ DUH FRQYH\HG WR WKH 'HSDUWPHQW &KDLUSH
DGPLQLVWUDWLRQ 7KH 'HDQ VXSHUYLVHV WKH H[SHQGLWXUH
UHDOORFDWH WKH DSSURYHG IXQGV LQ FRQVXOWDWLRQ ZLWK
DGPLQLVWUDWRUV RI WKH DIIHFWHG 'HSDUWPHQWV IURP DQG
LQWHUHVWV RI WKH &ROOHJH RU 6FKRRO ,Q FRRSHUDWLRQ ZL
FRPSDUDEOH DGPLQLVWUDWRUV WKH 'HDQ H[FHSW IRU WKH '
UHVSRQVLEOH IRU WKH DSSURSULDWH DQG SURGXFWLYH XVH

7KH 'HDQ RI /LEUDULHV DQG 0XVHXPV LV DSSRLQWHG E\ WKH 3
FRQVXOWDWLRQ ZLWK WKH 3URYRVW DQG IDFXOW\ PHPEHUV V
3URYRVW IRU WKH RYHUDOO DGPLQLVWUDWLRQ RI HYHU\ OLEU
WKH 6FKRRO RI /DZ DQG WKH 0DGULG FDPSXV 7KH SURFHGXU
/LEUDULHV DQG 0XVHXPV DUH LGHQWLFDO WR WKRVH IRU RWK
WKH 'HDQ RI /LEUDULHV DQG 0XVHXPV DUH LGHQWLFDO WR WK
GHFLVLRQV LPDNLQJ HVWDEOLVKLQJ SROLF\ HQVXULQJ IDFXOW\ TXD
FRPSOLDQFH ZLWK ERWK SURIHVVLRQDO OLEUDU\ VWDQGDUGV
RI RWKHU 8QLYHUVLW\ XQLWV DSSRLQWPHQW RI VHDUFK FRPP
HPHULWXV IDFXOW\ DSSRLQWPHQWV SURPRWLRQ OHDYHV RI
DSSRLQWPHQWV RI /LEUDU\ IDFXOW\ DQG WHUPLQDWLRQ SUH
FRPPXQLFDWLRQ RI EXGJHWV GHWHUPLQDWLRQ RI IDFXOW\ ZR
SURPRWLRQ RI SURIHVVLRQDO GHYHORSPHQW UHFRPPHQGDWL
FRPSHQVDWLRQ ZLWKLQ WKH OLPLWV RI DYDLODEOH IXQGV UL
RI DSSRLQWPHQWV RI /LEUDU\ DGPLQLVWUDWRUV DQG RWKHU
SURGXFWLYH XVH RI EXLOGLQJ VSDFH DQG UHSUHVHQWDWLRQ
UHODWLRQV DQG DOXPQL DFWLYLWLHV ,Q DGGLWLRQ WKH 'H
FRRUGLQDWRU ZRUNLQJ ZLWK WKH RWKHU 8QLYHUVLW\ OLEUD
/LEUDULHV

b. School Director

6RPH 6FKRROV DUH RUJDQL]HG ZLWKLQ &ROOHJHV 7KH DGPLQ
6FKRROV UHSRUWV WR WKH &ROOHJH 'HDQ DQG LV W\SLFDOO\ F
UHVSRQVLELOLWLHV RI WKH 'LUHFWRU YDU\ IURP 6FKRROV WR 6
WKH 3URYRVW DIWHU FRQVXOWDWLRQ ZLWK WKH 'HDQ DQG IDF
SURFHGXUHV IRU HYDOXDWLRQ RI WKH 6FKRROV 'LUHFWRU DUH
FRQVXOWDWLRQ ZLWK WKH IDFXOW\

c. Department Chairperson

7KH 'HSDUWPHQW &KDLUSHUVRQ RU FRPSDUDEOH DGPLQLVWUD
UHFRPPHQGDWLRQ RI WKH KHDG RI WKH &ROOHJH RU 6FKRR
KDYH FRQVXOWHG ZLWK DOO IDFXOW\ PHPEHUV RI WKH 'HSDUW
WZHOYH PRQWK FRPPLWPHQW UHQHZDEOH DQQXDOO\ IRU D W
LQ WKH PHGLFDO VFLHQFHV $IWHU HYDOXDWLRQ E\ WKH IDFX
UHFRPPHQGDWLRQ E\ WKH 'HDQ D &KDLUSHUVRQ RU FRPSDUDE
WKH 3URYRVW ,Q PRVW LQVWDQFHV WKH 'HSDUWPHQW &KDLU
WR WKH 'HDQ RI WKH &ROOHJH RU 6FKRRO WR ZKLFK WKH 'HSD

7KH 'HSDUWPHQW &KDLUSHUVRQ RU FRPSDUDEOH DGPLQLVWUD
DGPLQLVWUDWLYH KHDG RI WKH 'HSDUWPHQW $V VXFK WKH\
DQG UHJXODWLRQV RI WKH &ROOHJH RU 6FKRRO DQG RI WKH 8
FRQVXOW ZLWK WKH IDFXOW\ PHPEHUV RI WKH 'HSDUWPHQW D
UHVSRQVLEOH IRU HVWDEOLVKLQJ GHSDUWPHQWDO FKDQJHV SU
VHUYLFH HQFRXUDJLQJ DQG VWLPXODWLQJ IDFXOW\ PHPEHUV
DFDGHPLF DGYLVLQJ IRU VWXGHQWV ZRUNLQJ WRZDUG REWDL
D FOLPDWH RI FROOHJLDOLW\ DQG SURIHVVLRQDOLVP WR HQVXUH
H[FHOOHQFH RI WKH HGXFDWLRQDO DQG UHVHDUFK ZRUN WKDW
PDMRU PDWWHUV RI SROLF\ ZLWKLQ WKH 'HSDUWPHQW DQG W
PDGH ,Q GHYHORSLQJ WKH EXGJHW WKH &KDLUSHUVRQ RU FR
WKH ILQDQFLDO QHHGV DQG UHFRPPHQGDWLRQV HVWDEOLVKH
&KDLUSHUVRQ RU FRPSDUDEOH DGPLQLVWUDWRU ZLOO UHSUHV
WKH 'HSDUWPHQW WR WKH &ROOHJH RU 6FKRRO DQG ZLOO UHS
WKH IDFXOW\

$IWHU FRQVXOWDWLRQ ZLWK WKH DSSURSULDWH IDFXOW\ PHP
FRPSDUDEOH DGPLQLVWUDWRU PDNHV UHFRPPHQGDWLRQV WR
LQLWLDO [DMQG FHUWDLQWHUP DSSRLQWPHQWV SURPRWLRQ WHQXUH VD
QRWLFHV RI LQWHQW QRW WR UHQHZ DSSRLQWPHQWV RI XQWH
ZRUNORDGV 7KH\ VXSHUYLVH LQVWUXFWLRQ DQG WKH SHUVRQ
PHPEHU V SHUIRUPDQFH DQQXDOO\ DQG GLVFXVV WKH HYDOXA
VHQGLQJ LW WR WKH 'HDQ ,Q FRQVXOWDWLRQ ZLWK DQG DW W
6FKRRO WKH 'HSDUWPHQW &KDLUSHUVRQ RU FRPSDUDEOH DG
WHDFK FRXUVHV DW SUHVFULEHG WLPHV DQG SODFHV ,Q PHH
ZHOO EHLQJ RI WKH 'HSDUWPHQW WKH &KDLUSHUVRQ RU FRPS
RWKHU PHPEHUV RI WKH 'HSDUWPHQW DQG ZRUNV WRZDUG D F
'HSDUWPHQW FRXUVH SUHUHTXLVLWHV H[DPLQDWLRQ DQG V
WHDFKLQJ DVVLJQPHQWV 7KH IDFXOW\ PHPEHUV VKDUH ZLWK
FRPSDUDEOH DGPLQLVWUDWRU UHVSRQVLELOLW\ IRU SDUWLFL
GHYHORSPHQW RI FDWDORJ PDWHULDOV UHODWLQJ WR WKH 'H
DQG IRU DGYLFH FRQFHUQLQJ 'HSDUWPHQWDO SXUFKDVHV 7K

VROLFLWV DJHQGD LWHPV DQG FDOOV DQG SUHVLGHV DW PHH
'HSDUWPHQW DW OHDVW RQFH HDFK VHPHVWHU

,Q GHYHORSLQJ WKH EXGJHW RI WKH 'HSDUWPHQW WKH &KDLU
FRQVXOW ZLWK WKH IDFXOW\ PHPEHUV DV SURYLGHG LQ 6HF
H[SHQGLWXUH RI 'HSDUWPHQW IXQGV IRU VDIHNHHSLQJ 'HSDU
PDLQWDLQLQJ DQ LQYHQWRU\ RI 'HSDUWPHQW HTXLSPHQW DQ

D. Faculty Senate

7KH)DFXOW\ 6HQDWH LV WKH SULQFLSDO RUJDQ DQG YRLFH R
FRQFHUQ DQG LW LV WKH SULPDU\ PHDQV E\ ZKLFK WKH IDFX
LQ JRYHUQDQFH RI WKH 8QLYHUVLW\ DV D ZKROH 7KH 6HQDWH
WKH IXOO WLPH IDFXOW\ RI WKH &ROOHJHV DQG 6FKRROV DQ

F. University Boards and Committees

7KH 8QLYHUVLW\ HVWDEOLVKHV ERDUGV DQG FRPPLWWHHV LQFOXGH IDFXOW\ UHSUHVHQWDWLYH
ERDUGV DQG FRPPLWWHHV LQFOXGH IDFXOW\ UHSUHVHQWDWLYH
6HQDWH ([HFXWLYH &RPPLWWHH

III. Faculty

A. Definition of Faculty

7KH 3URYRVW RU GHVLJQHH LV WKH 8QLYHUVLW\ RIILFLDO HPS
HPSOR\PHQW WR D IDFXOW\ PHPEHU :KHQ WKH VHDUFK FRPPL
FRPSDUDEOH DGPLQLVWUDWRU GHVLUH WR PDNH DQ RIIHU WR
UHTXHVW IRU DSSURYDO PXVW EH VXEPLWWHG WR WKH DSSUR
DORQJ ZLWK GDWD WR ,Q PRVW FDVHV WKH 'HDQ RU FRPSDUD
HVWDEOLVKHV PXWXDOO\ DJUHHDEOH WHUPV RI HPSOR\PHQW
WKH FDQGLGDWH D FRQWLQJHQW RIIHU DQG WUDQVPLWV WKH
,I WKH 3URYRVW RU GHVLJQHH DQG WKH SURSRVHG WHUPV RI
EHKDOI RI WKH 8QLYHUVLW\ 7KH 8QLYHUVLW\ UHTXLUHV WKDW
ZULWLQJ 2UDO FRPPLWPHQWV QRW UHIOHFWHG LQ WKH LQGLY
ELQGLQJ 7KH W\SH RI IDFXOW\ SRVLWLRQ DQG UDQN RIIHUHG
ZLWK WKH GHVFULSWLRQV LQ 6HFV ,,, ' DQG ,,,) &RSLHV RI H
DIIHFWLQJ WKH WHUPV RI HPSOR\PHQW PXVW EH VHQW SURPSW
2IILFH RI WKH 3URYRVW &RPPUHKHQVLYH JXLGHOLQHV IRU IDF
RQ WKH ZHEVLWH RI WKH 2IILFH RI WKH 3URYRVW

(DFK IDFXOW\ PHPEHU ZLOO EH DSSRLQWHG WR D VSHFLILF 'HS
RQ WK€0 T€ 00 0
IRPSWOQW €0`À ÃRI Âmp`PL 0W D@ p2HÀð@ F`` 0P X`pp 0(S D` F

2. Secondary and Joint Appointments

$ IDFXOW\ PHPEHU ZKR SRVVHVVHV WKH VNLOOV DQG FRPSHWH
DFDGHPLF XQLW RU SURJUDP PD\ EH JLYHQ HLWKHU D VHFRQG
DSSURYDO RI WKH 3URYRVW RU GHVLJQHH XSRQ UHFRPPHQGD
FRPSDUDEOH DGPLQLVWUDWRU RI WKH SULPDU\ DFDGHPLF XQL
VHFRQGDU\ DSSRLQWPHQW LV QRQ WHQXUDEOH LV PDGH IRU
DQG LQYROYHV QR VKDULQJ RI VDODU\ EHWZHHQ DFDGHPLF XQ
DUH UHQHZDEOH 7KH\ PD\ DOVR EH GLVFRQWLQXHG ZLWK ZUL
WKH &KDLUSHUVRQ RU FRPSDUDEOH DGPLQLVWUDWRU RI WKH

LV QRW DZDUGHG WHQXUH E\ WKH HQG RI WKH XSHUPDQD
FRQWUDFW DW WKH FRQFOXVLRQ RI ZKLFK WKH IDFXOW\ PHPE

6XEMHFW WR WKH TXDOLILFDWLRQV QRWHG EHORZ WKH 8QLYH
WHQXUH WR D IDFXOW\ PHPEHU E\ WKH HQG RI WKH DFDGH
3URYRVW RU GHVLJQHH PD\ JUDQW ZULWWHQ DSSURYDO WR FH
VHUYLFH IRU SXUSRVHV RI WKH SUREDWLRQDU\ SHULRG 6XFK
OHDYHV RI DEVHQFH DQG DGPLQLVWUDWLYH DVVLJQPHQWV :K
SHULRG PD\ DOVR EH DGMXVWHG $GGLWLRQDOO\ ZKHUH DQ D
DYDLODEOH SXUVXDQW WR 8QLYHUVLW\ SROLF\ RU ZKHUH VSH
FDQGLGDWH ZULWWHQ DSSURYDO IRU WKH LQGLYLGXDO FDVH
WKH SUREDWLRQDU\ SHULRG H J DW WKH WLPH RI DQ DGPLQ
OHDYH RI DEVHQFH IURP WKH 'HDQ RU FRPSDUDEOH DGPLQLV
WKH SUREDWLRQDU\ SHULRG PD\ DOVR EH DGMXVWHG LQ DFFR

Policy on Extension of the Probationary Period That Applies to the Granting of Tenure

VHH 6HF ,,, (7KH 3URYRV
IRUZDUG D FRS\ RI WKH ZULWWHQ DSSURYDO WR H[WHQG WKH
FRPSDUDEOH DGPLQLVWUDWRU

,W LV WKH UHVSRQVLELOLW\ RI WKH IDFXOW\ PHPEHU WR DSSO
WKH SUREDWLRQDU\ SHULRG LQ DFFRUGDQFH ZLWK DGPLQLVW
ZLWK WKH SURYLVLRQV RI 6HF ,,, ($ IDFXOW\ PHPEHU KDV W
VWDWHPHQW IURP WKH 3URYRVW LQGLFDWLQJ WKH \HDU RI WK

$ IDFXOW\ PHPEHU ZKR DSSOLHV HDUO\ IRU SURPRWLRQ WR DV
XQVXFFHVVIXO PD\ UHDSSO\ LQ VXEVHTXHQW \HDUV GXULQJ W

)RU WHQXUH WUDFN IDFXOW\ DSSRLQWPHQWV SUHYLRXV IDFX
WR WKH 8QLYHUVLW\ PD\ EH VXEVWLWXWHG IRU QRW PRUH WK
WKH SUREDWLRQDU\ SHULRG E\ WKH EHVW DYDLODEOH SUHYLRX
DSSRLQWPHQW V DW LQVWLWXWLRQV FRPSDUDEOH WR WKH 8
IDFXOW\ PHPEHU DQG DJUHHG WR LQ ZULWLQJ E\ WKH DSSURS
LQLWLDO DSSRLQWPHQW $Q DJUHHPHQW WR FRQVLGHU SUHYL
WKH IDFXOW\ PHPEHU WR XVH WKLV WLPH WRZDUG WHQXUH DQ
VWLOO XVH WKH IXOO SUREDWLRQDU\ WLPH IUDPH EHIRUH VXE
DSSOLFDWLRQ

3URPRWLRQ DQG WHQXUH GHFLVLRQV ZLOO QRUPDOO\ EH PDG
\HDUV RI WHDFKLQJ UHVHDUFK DQG VHUYLFH VHYHQ \HDUV I
/RXLV 8QLYHUVLW\ $ UHTXHVW WR FRQVLGHU SUHYLRXV IDFX
FRPSDUDEOH LQVWLWXWLRQV PXVW EH PDGH LQ ZULWLQJ E\ W
E\ WKH DSSURSULDWH 'HDQ DQG WKH 3URYRVW SULRU WR WKH
ZLWK WKH VLJQDWXUH RI WKH DSSURSULDWH 'HDQ DQG WKH 3U
DSSOLFDWLRQ

7LPH VHUYHG LQ D QRQ WHQXUH WUDFN IDFXOW\ SRVLWLRQ LV
+RZHYHU WHDFKLQJ UHVHDUFK DQG VHUYLFH GXULQJ WKH Q
FRQVLGHUHG WRZDUG WKH SURPRWLRQ DQG RU WHQXUH GHFL
ZLWK ZULWWHQ DSSURYDO RI WKH 3URYRVW DW WKH WLPH RI

$ IXOO WLPH IDFXOW\ PHPEHU ZKR KDV WHQXUH EXW ZKR UHTX
IDFXOW\ PHPEHU RI WKH 8QLYHUVLW\ DXWRPDWLFDOO\ UHOLQT

H[SOLFLW DJUHHPHQW LQ ZULWLQJ DPRQJ WKH IDFXOW\ PHPEH
DGPLQLVWUDWRU DQG WKH 3URYRVW WKDW WHQXUH LV UHWD
FRYHUHG E\ 6HF ,,, + E

$ WHQXUH WUDFN IDFXOW\ PHPEHU PD\ DSSO\ WR WKH DSSURS
Q R Q½À m0 0
½À mP 0

a. Clinical Faculty

7KHUH DUH WZR W\SHV RI FOLQLFDO IDFXOW\ )XOO WLPH FOL
FOLQLFDO VHWWLQJV ILHOG EDVHG FRXUVHV DQG RU SUDFWL
PHGLFDO VWXGHQWV LQ WKH WUHDWPHQW RI SDWLHQWV RU V
6RPH FOLQLFDO IDFXOW\ KROG UHQHZDEOH DSSRLQWPHQWV 7

7\SLFDOO\ D IDFXOW\ PHPEHU LV H[SHFWHG WR FRPSOHWH ILY
\HDUV IRU 6FKRRO RI 0HGLFLQH IDFXOW\ LQ RUGHU WR DSSO\
WKLV QRUP LQFOXGH DXWKRUL]HG FUHGLW IRU SUHYLRXV IDFX
3URYRVW DSSURYHG SURPRWLRQ DQG WHQXUH JXLGHOLQHV RI
SURPRWLRQ DQG RU WHQXUH

$SSOLFDWLRQV IRU DGYDQFHPHQW ZLWK WHQXUH PXVW EH VX
WKH IDFXOW\ PHPEHU V VL[WK \HDU LQ D WHQXUH WUDFN SRVL
PHPEHU¶V HLJKWK \HDU LI LQ WKH 6FKRRO RI 0HGLFLQH 7HQX
SURPRWLRQ WR DVVRFLDWH SURIHVVRU DQG WHQXUH LQ WKH
SURPRWLRQ DQG WHQXUH PXVW EH JUDQWHG RU GHQLHG WRJH
HVWDEOLVKHG FDOHQGDU GHDGOLQHV LQ DQ\ DFDGHPLF \HDU

OH V0 0Ä` eP %DE HK Hp@ \aÊpX°P Æ È L W°‡ HU Hƒ"@S \aÊpD°UPRLWL[W\DK HR WDX, XQ W H€ XPPP

€s H UP´ @@Q ¼P

OU L € L dP

3 R2.Assistant Professor W K

1. Instructor

$ S S R L Q W P H Q W W R W K H U D Q N R I , Q V W U X F W R U S U H V X S S R V H V W

D 3 R V V H V V L R Q R I D G H T X D W H W U D L Q L Q J D Q G S U H S D P Z L Q R Q

G. Responsibilities of Faculty Members

7HDFKLQJ DVVLJQPHQWV DGYLVLQJ GXWLHV DQG EDVLF H[SH
DGPLQLVWUDWLRQ DQG FOLQLFDO ZRUN RI D IDFXOW\ PHPEHU
&KDLUSHUVRQ RU FRPSDUDEOH DGPLQLVWUDWRU LQ DFFRUGD
WR UHYLHZ E\ WKH DSSURSULDWH DXWKRULW\ WKH SDFH DQG
XQLWV XOWLPDWHO\ UHSRUWLQJ WR WKH 3URYRVW H[FHSW IRU
ZRUN LQFOXGLQJ LWV UHVSRQVLELOLWLHV DQG WKH GLVWULE
WHUP RU \HDU ,W DOVR RXWOLQHV WKH SURFHVV E\ ZKLFK ID
DSSURYHG

Faculty Workload Policy

1. Teaching

$Q LQGLYLGXDO¶V LQVWUXFWLRQDO UHVSRQVLELOLWLHV PD\ Y
FKDQJH RYHU WLPH GHSHQGLQJ RQ GHSDUWPHQWDO QHHG DQ
DVVLJQPHQWV DQG DFKLHYHPHQWV 7HDFKLQJ H[SHFWDWLRQV
WKH WLPH RI HDFK DSSRLQWPHQW 6SHFLILF WHDFKLQJ DVVLJ
E\ WKH 'HSDUWPHQW &KDLUSHUVRQ RU FRPSDUDEOH DGPLQLVV
'HDQ

$Q HVVHQWLDO UHVSRQVLELOLW\ RI D IDFXOW\ PHPEHU ZLWK I
VFKHGXOHG FODVVHV WR WKH EHVW RI WKHLU DELOLW\ $EVHC
D QDWLRQDO PHHWLQJ PXVW EH DSSURYHG LQ DGYDQFH E\ WI
DGPLQLVWUDWRU RU WKH DSSURSULDWH 'HDQ RU FRPSDUDEO
FDQQRW FRQGXFW D FODVV IRU XQIRUHVHHQ UHDVRQV VXFK D
WKH\ PXVW LQIRUP WKH 'HSDUWPHQW &KDLUSHUVRQ RU FRPSD
'HDQ RU FRPSDUDEOH DGPLQLVWUDWRU DV SURPSWO\ DV SRV
PXVW PDNH DSSURSULDWH DUUDQJHPHQWV IRU SURYLGLQJ VW
WKH PLVVHG FODVVHV

,W LV WKH GXW\ RI HDFK IDFXOW\ PHPEHU WR NQRZ DQG IROOR
8QLYHUVLW\ DQG WKH DFDGHPLF UHJXODWLRQV DQG SURFHGX
&ROOHJH RU 6FKRRO DQG DYDLODEOH LQ ZULWLQJ IURP WKH
DGGLWLRQ HDFK IDFXOW\ PHPEHU LV H[SHFWHG WR NQRZ DQG
RU 6FKRRO LQ ZKLFK WKH FRXUVH LV RIIHUHG ,W LV WKH UHV
GHWHUPLQH ZKHQ FRXUVH UHTXLUHPHQWV KDYH EHHQ PHW DQ
LQGLYLGXDO VWXGHQWV ZLWKLQ WKH JUDGLQJ SROLFLHV RI \

,Q WKH FODVVURRP DQG LQ VWXGHQW DGYLVLQJ IDFXOW\ PHP
LQTXLU\ DQG H[SUHVVLRQ 7KH\ PXVW DOORZ VWXGHQWV WR
WKH\ SUHVHQW DQG WR UHVHUYH MXGJPHQW DERXW PDWWHUV

UHVSRQVLEOH IRU QHDUQLQJ WKH ERQWHQW RI WKH FRXUVHV

0 P JC D UpQ L Q¤· H HpK0 W \ R• p @ J ° H HpH U J L RPX G

)DLOXUH WR FRPSO\ ZLWK WKH GHDGOLQHV IRU VXEPLWWLQJ J
DQG VXEVWDQWLDOO\ DGG WR WKH ZRUNORDG RI 8QLYHUVLW\
UHDVRQV DQG WKH SHUPLVVLRQ RI WKH 'HSDUWPHQW &KDLUSH
IDFXOW\ PHPEHU IURP WKH REOLJDWLRQ WR VXEPLW JUDGHV E

%HFDXVH RI WKH RFFDVLRQDO EXW LPSRUWDQW QHHG WR UHF
PXVW UHWDLQ UHFRUGV RI VWXGHQW JUDGHV IRU DW OHDVW W
DQG RWKHU FULWLFDO JUDGHG DVVLJQPHQWV IRU DW OHDVW

2. Student Advising

7KH 8QLYHUVLW\ UHJDUGV WHDFKLQJ DV LQFRPSOHWH LI LW L
ODERUDWRU\ $OO IDFXOW\ PHPEHUV DUH H[SHFWHG WR DGYL
RFFDVLRQ DULVHV HLWKHU E\ IRUPDO DVVLJQPHQW WR DGYLV
FODVVURRP FRQWDFW)DFXOW\ PHPEHUV VKRXOG SURYLGH DP
RSSRUWXQLWLHV IRU LQIRUPDO GLVFXVVLRQV DQG VKRXOG H
DFDGHPLF PDWWHUV

)DFXOW\ PHPEHUV PD\ DVVLVW VWXGHQWV E\ GLVFXVVLQJ SHU
SUREOHPV H[FHHG WKH FDSDELOLWLHV RI WKH IDFXOW\ PHPEH
SURIHVVLRQDO FRXQVHOLQJ VHUYLFHV RIIHUHG E\ WKH 8QLYH

3. Research and Scholarly Activity

(DFK IDFXOW\ PHPEHU VKDUHV ZLWK WKH HQWLUH 8QLYHUVLW
H[SORULQJ FRPPXQLFDWLQJ QHZ NQRZOHGJH 5HVHDUFK DQG V
IRU UHLQIRUFLQJ DQG YLWDOL]LQJ WHDFKLQJ

1R H[SHULPHQW WKDW YLRODWHV D IXQGDPHQWDO KXPDQ ULJ
FRQWULEXWHV WR WUXWK 7KHUHIRUH QR VXFK UHVHDUFK RU
UHVHDUFK LQYHVWLJDWLRQ WKDW LQYROYHV KXPDQ VXEMHFW
8QLYHUVLW\¶V ,QVWLWXWLRQDO 5HYLHZ %RDUGV DQG DQ\ UH
VXEMHFWV PXVW UHFHLYH SULRU DSSURYDO RI WKH $QLPDO &

+LJK VWDQGDUGV RI SHUVRQDO FRQGXFW DUH GHPDQGHG LQ F
(DFK IDFXOW\ PHPEHU PXVW DYRLG IUDXG DQG RWKHU PLVFRQ
RWKHU IDOVLILFDWLRQ RI GDWD SODJLDULVP DQG GHOLEHUD
VWDWH RU 8QLYHUVLW\ UXOHV DQG UHJXODWLRQV JRYHUQLQ
WKDW VHULRXVO\ GHYLDWH IURP WKRVH WKDW DUH FRPPRQO\
SURSRVLQJ FRQGXFWLQJ RU UHSRUWLQJ UHVHDUFK +RZHYH
GLIIHUHQFHV LQ LQWHUSUHWDWLRQV RU HYDOXDWLRQV RI GD

(DFK PHPEHU RI WKH 8QLYHUVLW\ FRPPXQLW\ DOVR KDV DQ RE
8QLYHUVLW\ DQG PXVW QRW OHW RXWVLGH DFWLYLWLHV RU R
LQWHUIHUH ZLWK WKHLU REOLJDWLRQ WR DYRLG RU HIIHFWLY
FRQIOLFWV RI LQWHUHVW LQ IXQGHG UHVHDUFK $GGLWLRQD
SURJUDPV PXVW EH UHDVRQDEOH DQG UHIOHFW DFWXDO ZRUN
PXVW EH UHSRUWHG ZKHQ LW GLIIHUV VLJQLILFDQWO\ IURP WK
RI WKHVH SULQFLSOHV WKH 8QLYHUVLW\ KDV *Effort-*DGRSWHG FRQIO
Reporting Policy ZKLFK DUH DYDLODEOH RQ WKH ZHEVLWH RI WKH 2II
5HVHDUFK

)LQDOO\ IDFXOW\ HQJDJHG LQ UHVHDUFK DQG VFKRODUO\ DFW

FRQWUDFW RU OHWWHU RI DSSRLQWPHQW ,I WKH H[WUDPXUDO
GDQJHU RI H[FHHGLQJ D WRWDO RI DSSUR[LPDWHO\ RQH GD\ D
SULRU DSSURYDO RI WKH DSSURSULDWH 'HDQ LV UHTXLUHG 7
FRPSHOOLQJ UHDVRQV LQ ZKLFK FDVH DQ\ DGGLWLRQDO ILQD
QRUPDO H[WUDPXUDO DFWLYLWLHV ZLOO DFFUXH WR WKH 8QL
SURKLELW WKLV UHWXUQHG WR WKH H[WUDPXUDO VSRQVRU 3
UHXHLWHRKRUDFXQ6HF H,L Y*LW JUHTPC š À HU D UDQGHP 0•

DQ DEXVH RI WKHLU GLVFUHWLRQ :HUH VXFK D GHWHUPLQDWL
UHVXOW LQ WKH DZDUGLQJ RI FRPSHQVDWRU\ SD\ 7KH &RPPL

5R\DOWLHV IURP ERRNV ILOPV RU RWKHU PHGLD SURGXFWLR
VHUYLFHV VXFK DV VHUYLQJ RQ 1,+ RU RWKHU IXQGLQJ DJHQ
DFWLYLWLHV DUH QRW FRQVLGHUHG SK\VLFLDQ VHUYLFHV

%HFDXVH DGYDQFHG QRWLFH DQG PDQDJHPHQW RI WLPH DQG
GLVUXSWLRQ DQG XQGXH LQWHUIHUHQFH ZLWK D SK\VLFLDQ¶V
IDFXOW\ PXVW QRWLI\ WKHLU &KDLUSHUVRQV SULRU WR HQJDJ
DVVRFLDWHG OHJDO ZRUN RU RWKHU H[WUDPXUDO SURIHVVLR
FRYHUHG SK\VLFLDQ VHUYLFHV

7KHUH ZLOO EH QR SURYLVLRQ RI SK\VLFLDQ VHUYLFHV WKDW
PHPEHU H[FHSW ZKHUH WKH IDFXOW\ PHPEHU LV HPSOR\HG E\
WKDW SD\V GLUHFWO\ LQVWHDG RI E\ FRQWUDFW ZLWK WKH 8Q
SURIHVVLRQDO FRPSHQVDWLRQ LV WR EH DSSURYHG E\ DQG UI
FRPSDUDEOH DGPLQLVWUDWRU DQG WR WKH 'HDQ RI WKH 6FKR

8. Community Service

7KH 8QLYHUVLW\ PLVVLRQ HQFRPSDVVHV VHUYLFH WR WKH FR
WKHUHIRUH HQFRXUDJHG WR SDUWLFLSDWH LQ FRPPXQLW\ SU
WKH SURJUDPV RI FRPPXQLW\ VHUYLFH WKDW DUH DSSURSULD
UU€ L]
H 8Qt@V< @@ QLW DS0 0 DĐ 0p @•]YH@4EH WU`@×@`"0€ 0VBðAEH

QRW SUHYHQW WKHP IURP VWDWLQJ DQG H[SODLQLQJ WKHL

2. Privacy

,Q UHFRJQLWLRQ RI WKH GLJQLW\ RI LWV IDFXOW\ WKH 8QLYH
IDFXOW\ KDV D UHDVRQDEOH H[SHFWDWLRQ RI SULYDF\ UHJDU
RU RWKHU ZRUNVSDFH DQG UHJDUGLQJ WKHLU UHFRUGV ILOH
RU NHSW LQ HOHFWURQLF IRUP E\ WKH XVH RI 8QLYHUVLW\ WH
KRZHYHU RYHUULGH D IDFXOW\ PHPEHU¶V H[SHFWDWLRQ RI S
8QLYHUVLW\ RU WKH IDFXOW\ PHPEHU WR FRPSO\ ZLWK RU PHH

DQ D0€P0SU@IHÀ\LRÀDOIHHQWLOOÀDW LW ð0 Y FRZRUNXOHF IDFXO
SU@0 IP0

ZLOO EH JUDQWHG HDUQHG GHJUHHV DQG UHFRPPHQGLQJ IDF
DFFRUGLQJ WR WKH QRUPV DQG SURFHGXUHV RI 6HFV ,,, %

7KH IDFXOW\ DOVR KDYH D PDMRU UROH LQ HVWDEOLVKLQJ RU
DFDGHPLF PLVVLRQ RI WKH 8QLYHUVLW\ 2Q WKHVH PDWWHUV
VROLFLWHG WKURXJK WKH)DFXOW\ 6HQDWH RU WKH DSSURSU
EHIRUH DFWLRQ LV WDNHQ 7R WKLV HQG WKH 3URYRVW DQG

IDFXOW\ PHPEHU RU ZKHQ WKH\ DUH UHTXLUHG E\ ODZ RU HYL
ZLWKRXW SD\ ZLOO EH JUDQWHG DV SURYLGHG LQ 6HF ,,, +

11. Legal Representation and Indemnification

7KH 8QLYHUVLW\ VKDOO LQGHPQLI\ IDFXOW\ PHPEHUV ZKR DUH
SDUWLHV WR DQ\ RUGHU DUDFWLRQ JEXLWHDVRQ RI WKH IDFW WKD
DJHQWV RI WKH 8QLYHUVLW\ DGDLQVW H[SHQVHV LQFOXGLQJ
DPRXQWV SDLG LQ VHWWOHPHQW DFWXDO\ DQG UHDVRQDEO\
DQG LQ D PDQQHU WKH\ UHDVRQDEO\ EHOLHYHG WR EH LQ RU
8QLYHUVLW\ DQG ZLWK UHVSHFW WR DQ\ FULPLQDO DFWLRQ
EHOLHYH WKHLU FRQGXFW ZDV XQODZIXO DOO DV PRUH VSHFL
RI 6DLQW /RXLV 8QLYHUVLW\ DV DPHQGHG RU UHYLVHG IURP W

12. Vacations and Leaves

a. Vacations

1RUPDOO\ HDFK IXOO WLPH IDFXOW\ PHPEHU ZLWK DQ DFDGHP
HQWLWOHG WR RQH PRQWK ZRUNLQJ GD\V RI YDFDWLRQ ZL
WLPHV DSSURYHG E\ WKH DSSURSULDWH 'HDQ RU FRPSDUDEOH
DFDGHPLF \HDU WKDW LV VKRUWHU WKDQ D FDOHQGDU \HDU D
8QLYHUVLW\ SULRU WR WKH H[SLUDWLRQ RI WKHLU FRQWUDFW

b. Medical Leaves of Absence and Termination for Medical Reasons

)DFXOW\ PHPEHUV DUH HQWLWOHG WR UHFHLYH PHGLFDO OHD
SHUIRUP WKHLU DVVLJQHG GXWLHV IRU PHGLFDO UHDVRQV DQ
GLVDELOLW\ EHIRUH JUDQWLQJ D PHGLFDO OHDYH RI DEVHQFH
DEVHQFH UHFHLYH IXOO SD\ DV ORQJ DV WKH FRQGLWLRQ FRQ
PRQWKV ,I WKH FRQGLWLRQ H[WHQGV EH\RQG VL[PRQWKV WK
OHDYH RI DEVHQFH FRQVLVWLQJ RI SDUWLDO RU FRPSOHWH U
UHGXFWLRQ RU FHVVDWLRQ RI VDODU\ IRU RQH IXOO VHPHVW
EH\RQG VL[PRQWKV WKH IDFXOW\ PHPEHU PD\ TXDOLI\ IRU OR
WHUPV RI ZKLFK DUH DYDLODEOH IURP WKH 8QLYHUVLW\ %HQH

,I WKHUH DUH UHSHDWHG OHDYHV RI DEVHQFH IRU PHGLFDO U
TXDOLI\ IRU ORQJ WHUP GLVDELOLW\ LQVXUDQFH EHQHILWV DQ
IRU PHGLFDO UHDVRQV H[WHQGLQJ EH\RQG WKH DGGLWLRQDO
FRQWUDFWXDO DJUHHPHQW EHWZHHQ WKH 8QLYHUVLW\ DQG W
8QLYHUVLW\ ZLWK WKH SRVVLELOLW\ RI UHQHJRWLDWLRQ E\ P
8QLYHUVLW\ V GHFLVLRQ WR WHUPLQDWH IRU PHGLFDO UHDVR
PHGLFDO HYLGHQFH WKDW WKH IDFXOW\ PHPEHU FDQQRW FRQ
WKH DSSRLQWPHQW DQG WKDW D UHDVRQDEOH DFFRPPRGDWL
GHFLVLRQ WR WHUPLQDWH ZLOO EH UHDFKHG RQO\ DIWHU WKH
UHSUHVHQWLQJ WKH IDFXOW\ PHPEHU KDV EHHQ LQIRUPHG RI
EHHQ DIIRUGHG DQ RSSRUWXQLW\ WR SUHVHQW WKH IDFXOW\
HYLGHQFH ,I WKH IDFXOW\ PHPEHU RU UHSUHVHQWDWLYH VR
WKH 3URIHVVLRQDO 5HODWLRQV &RPPLWWHH RI WKH)DFXOW\
WR WKH 3UHVLGHQW EHIRUH D ILQDO GHFLVLRQ LV PDGH

7KH 3UHVLGHQW RI WKH 8QLYHUVLW\ PDNHV WKH ILQDO GHFLV
QRWLILHV WKH IDFXOW\ PHPEHU LQ ZULWLQJ SURPSWO\ RI WKH

DSSRLQWPHQW KDV EHHQ WHUPLQDWHG LV HQWLWOHG WR UHF
\HDU RI HPSOR\PHQW VL[PRQWKV LI LQ WKH VHFRQG \HDU DC
VDODU\ SDLG GXULQJ WKH SUHYLRXV WZHOYH PRQWKV XQGHU
,Q FDVHV LQ ZKLFK D PHGLFDO OHDYH RI DEVHQFH KDV QRW E
ULJKW WR WHUPLQDWH RU SODFH D IDFXOW\ PHPEHU RQ PHGL
WKH 3UHVLGHQW RI WKH 8QLYHUVLW\ EDVHG XSRQ FOHDU DQC
PHPEHU FDQQRW FRQWLQXH WR IXOILOO WKH WHUPV DQG FRQ
UHDVRQV DQG D UHDVRQDEOH DFFRPPRGDWLRQ RI WKH GLVDE
SURFHGXUHV VWDQGDUGV DQG FRPSHQVDWLRQ GHVFULEHG L

7KH 3URYRVW ZLOO VSHFLI\ LQ ZULWLQJ ZKHWKHU D PHGLFDO
DV D \HDU RU SDUW RI D \HDU RI VHUYLFH GLVDEOHG WKH IXOO
DEVHQFH QRUPDOO\ ZLOO QRW EH FRXQWHG DV D \HDU RU SDU
WHQXUH DFFRUGLQJ WR 6HF ,,, ' $ FRS\ RI WKLV VSHFLILFD
&RPPLWWHH RQ $FDGHPLF 5DQN DQG 7HQXUH E\ WKH 3URYRVW

c. Leaves of Absence without Pay

/HDYHV RI DEVHQFH ZLWKRXW SD\ IRU XS WR RQH FDOHQGDU \
UZDFXOW\€PEHUZKHQ T3WÃ@ PHì WLP@H00 À LD€0 PDPFYHV RI
IDFXOW\FYp @ `€ À ððWVJUDRU€` D\

HTXLYDOHQW JURXS WR WKHLU 'HSDUWPHQW &KDLUSHUVRQ R
RU FRPSDUDEOH DGPLQLVWUDWRU 7KLV UHSRUW VHUYHV DV D
)DLOXUH WR ILOH VXFK D UHSRUW LQ D WLPHO\ PDQQHU LV JU
IRU D GHYHORSPHQWDO OHDYH E\ WKH UHFLSLHQW

$ IDFXOW\ PHPEHU ZKR UHFHLYHV D GHYHORSPHQWDO OHDYH
DIWHU FRPSOHWLRQ RI WKH OHDYH DQG WR UHPDLQ LQ VHUYL
)DLOXUH WR GR VR PDNHV WKH IDFXOW\ PHPEHU OLDEOH IRU U
EHQHILWV SDLG ZKLOH WKH\ ZHUH RQ OHDYH

f. Faculty Childcare Leaves

)XOO WLPH IDFXOW\ ZKR VHUYH DV SULPDU\ FDUHJLYHUV LQ FL
OHDYH XQGHU WKH

3URJUDP FHUWLILFDWLRQV DUH DSSURYHG SHU DFDGHPLF \HD
3URJUDP LV DYDLODEOH RQ WKH ZHEVLWH RI WKH 8QLYHUVLW

15. Benefits of Current Faculty

)DFXOW\ EHQHILWV LQFOXGLQJ KHDOWK LQVXUDQFH WXLWLR
GHQWDO SODQV UHWLUHPHQW SODQV ORQJ WHUP GLVDELOLW
DFFLGHQWDO GHDWK DQG GLVPHPEHUPHQW LQVXUDQFH DUH D
2IILFH $ FRPSOHWH GHVFULSWLRQ RI DOO IDFXOW\ EHQHILWV
ZHEVLWH DQG WKLV RIILFH SURYLGHV DGGLWLRQDO LQIRUPDW
HOLJLELOLW\ UHTXLUHPHQWV XSRQ UHTXHVW 7KH EHQHILWV
SULRU FRQVXOWDWLRQ ZLWK WKH)DFXOW\ 6HQDWH

8QLYHUVLW\ FRQWULEXWLRQV WR EHQHILWV FRQWLQXH GXULQ
)DFXOW\ PHPEHUV DQWLFLSDWLQJ XQSDLG OHDYHV RI DEVHQF
VDODU\ VKRXOG FRQWDFW WKH 8QLYHUVLW\ %HQHILWV 2IILFH

16. Benefits of Retired and Emeriti Faculty

8SRQ UHWLUHPHQW IDFXOW\ UHFHLYH ZULWWHQ FRUUHVSRQG
RXWOLQLQJ WKH DSSOLFDEOH EHQHILWV DYDLODEOH IRU FRQV

H[LJHQF\ XQGHU 6HFV ,,, , RU IRU FDXVH DQG WKHQ RQ
DQG RQO\ DFFRUGLQJ WR WKH SURFHGXUHV JLYHQ LQ 6HF ,,,
GHFOLQH WR UHQHZ WKH FRQWUDFW RI DQ XQWHQXUHG IDFXO
VSHFLILFDWLRQV LQ 6HF ,,, , DV ORQJ DV DGHTXDWH QRWLF
5HDVRQV IRU QRQUHQHZDO RI D WHQXUH WUDFN IDFXOW\ PHPE
PHHW DOO SHUIRUPDQFH H[SHFWDWLRQV LQFOXGLQJ WKH H[S
WKH DZDUGLQJ RI WHQXUH DQG D GLPLQXWLRQ LQ WKH QHHG
ZHDN HQUROOPHQWV RU D FKDQJH LQ SURJUDPPDWLF HPSKDVL

1RWLFH RI QRQUHQHZDO RU RI LQWHQWLRQ QRW WR UHFRPPH
DFFRUGDQFH ZLWK WKH IROORZLQJ VWDQGDUGV

D 1RW ODWHU WKDQ 0DUFK RI WKH ILUVW DFDGHPLF \HDU I
WKH HQG RI WKDW \HDU RU LI D RQH \HDU DSSRLQWPHQW
OHDVW WKUHH PRQWKV LQ DGYDQFH RI LWV WHUPLQDWLR

E 1RW ODWHU WKDQ 'HFHPEHU RI WKH VHFRQG DFDGHPLF
H[SLUHV DW WKH HQG RI WKDW \HDU RU LI DQ LQLWLDO
DFDGHPLF \HDU DW OHDVW VL[PRQWKV LQ DGYDQFH RI L

F $W OHDVW WZHOYH PRQWKV EHIRUH WKH H[SLUDWLRQ RI
WKH LQVWLWXWLRQ

&RQWUDFWV EHWZHHQ WKH 8QLYHUVLW\ DQG QRQ WHQXUH WU
RI RQH DFDGHPLF \HDU 7KH 8QLYHUVLW\ PD\ WHUPLQDWH WKH
WKH WHUP RI WKH FRQWUDFW RQO\ IRU VLWXDWLRQV LQYROYL
RQO\ DV SURYLGHG IRU LQ 6HF ,,, + E RU SXUVXDQW WR DF
XQGHU 6HFV ,,, , RU IRU FDXVH DQG WKHQ RQO\ RQ WKH
DFFRUGLQJ WR WKH SURFHGXUHV JLYHQ LQ 6HF ,,, , RU ,,, ,
UHQHZ WKH FRQWUDFW RI VXFK D IDFXOW\ PHPEHU VXEMHFW
DV DGHTXDWH QRWLFH RI QRQUHQHZDO KDV EHHQ SURYLGHG
FRQWLQXLQJ IXOO WLPH QRQ WHQXUH WUDFN IDFXOW\ PXVW E
QR ODWHU WKDQ WKUHH PRQWKV EHIRUH WKH HQG RI WKH DSS
VHUYHG IHZHU WKDQ WZR \HDUV QR ODWHU WKDQ VL[PRQWK
IDFXOW\ PHPEHU ZKR KDV VHUYHG PRUH WKDQ WZR \HDUV EXW
WZHOYH PRQWKV EHIRUH WKH HQG RI WKH DSSRLQWPHQW IRU
RU PRUH

7HQXUH WUDFN WHQXUHG DQG QRQ WHQXUH WUDFN IDFXOW\
QRW LQWHQG WR DFFHSW DQ DSSRLQWPHQW IRU WKH QH[W DF
WKH HDUOLHVW SRVVLEOH RSSRUWXQLW\ EXW QRW ODWHU WK
WKH WHUPV RI DSSRLQWPHQW IRU WKH IROORZLQJ \HDU)DFX
UHTXLUHPHQW RI QRWLFH LQ FDVH RI KDUGVKLS RU LQ D VLWX
VXEVWDQWLDO SURIHVVLRQDO DGYDQFHPHQW RU RWKHU RSSR

2. Annual Review
(YHU\ IXOO WLPH IDFXOW\ PHPEHU LV HYDOXDWHG DQQXDOO\ E
FRPSDUDEOH DGPLQLVWUDWRU DQG LW LV WKH UHVSRQVLELO
DGPLQLVWUDWRU WR HQVXUH WKDW VXFK HYDOXDWLRQV DUH
8QLYHUVLW\ DQG WKH SURp°xÐ

RSHQO\ ZLWK WKH IDFXOW\ PHPEHU V IXOO NQRZOHGJH $OO P
PDQQHU GHWHUPLQHG E\ WKH &ROOHJH 6FKRRO /LEUDU\ RU

7KH FULWHULD IRU WKH HYDOXDWLRQV PXVW EH EDVHG RQ WK
DSSOLFDEOH WKH UHVSRQVLELOLWLHV RI IDFXOW\ VSHFLILHG
UHVSHFWLYH &ROOHJH 6FKRRO /LEUDU\ RU FRPSDUDEOH DFD
DQG ,,, * 7KH LQVWUXPHQWV DQG VWDQGDUGV DUH GHWHUPLQ
DGPLQLVWUDWRU LQ FRQVXOWDWLRQ ZLWK WKH IDFXOW\ RI W

%HFDXVH WKH SULPDU\ SXUSRVH RI WKH DQQXDO UHYLHZ LV W
IDFXOW\ PHPEHU WR LPSURYH WKHLU WHDFKLQJ VWXGHQW DG
8QLYHUVLW\ DQG FRPPXQLW\ VHUYLFH WKH HYDOXDWLRQ VKR
HYDOXDWHG WKH RSSRUWXQLW\ WR EHWWHU XQGHUVWDQG WK
ZHDNQHVV &DQGRU LV HVSHFLDOO\ LPSRUWDQW ZKHQ DVVHVV
ZKR ORRN WR WKHLU &KDLUSHUVRQV IRU JXLGDQFH DV WKH\ Z
DOVR EH XVHG WR HVWDEOLVK WKH VDODU\ WR EH RIIHUHG WK
WR SURYLGH LQIRUPDWLRQ IRU DQ DGYDQFHPHQW GHFLVLRQ
GHFLVLRQV VKRXOG EH VHSDUDWH IURP WKH SURFHVV XVHG IR
DOORZHG UHDVRQDEOH DFFHVV WR WKHLU RZQ UHFRUGV DQG

)DFXOW\ VKDOO VXEPLW WKHLU DQQXDO DFWLYLW\ UHSRUW LQ
FKDLUSHUVRQ RU FRPSDUDEOH DGPLQLVWUDWRU (YDOXDWRU\
IDFXOW\ WKH\ HYDOXDWH HDFK \HDU (YDOXDWRUV¶ UHSRUWV
FRPPHQW UHVSRQG LI WKH\ ZLVK DV ZHOO DV D SODFH IRU WK
UHSRUW VXEPLVVLRQ WKHLU VXEVHTXHQW GLVFXVVLRQ ZLWK
HYDOXDWRU¶V ZULWWHQ UHSRUW QRW QHFHVVDULO\ WKHLU D

3. Midpoint Review

3UH WHQXUH IDFXOW\ ZLOO EH UHYLHZHG QHDU WKH PLGSRLQ
WKLV UHYLHZ ZKLFK LV VHSDUDWH IURP WKH DQQXDO UHYLHZ
SURJUHVV WRZDUG DFKLHYLQJ WHQXUH XVLQJ HVWDEOLVKHG
WKH 'HSDUWPHQWDO &ROOHJH RU 6FKRRO OHYHO LW LQFOX
DQG WKH XQLW 'HDQ 3HHU RU PHQWRULQJ FRPPLWWHHV PD\ D
&ROOHJH RU 6FKRRO $ SRVLWLYH PLGSRLQW UHYLHZ GRHV QR
6KRXOG D IDFXOW\ PHPEHU REWDLQ DQ H[WHQVLRQ RI WKHLU
RI WKHLU PLGSRLQW UHYLHZ WKH\ PD\ FKRRVH WR GHOD\ WKH
HTXLYDOHQW WR WKH H[WHQVLRQ $ IDFXOW\ PHPEHU¶V GHFL
WKH 'HDQ¶V RIILFH WKLV GRFXPHQWDWLRQ ZLOO EH D FRPSR

5. Nonrenewal of Contracts

7KH GHFLVLRQ WR UHQHZ WKH FRQWUDFWV RU HYDOXDWH IDFXO
UHVWV ZLWK WKH 'HSDUWPHQW &KDLUSHUVRQ RU FRPSDUDEOH
DGPLQLVWUDWRU 6XFK GHFLVLRQV DUH ILQDO DQG QRW VXEM

$Q XQWHQXUHG IDFXOW\ PHPEHU RQ WKH WHQXUH WUDFN RU D

GLVPLVVDO LV VRXJKW UHVLGHV 7KH)DFXOW\ 6HQDWH 3UHVL
RI WKH &RPPLWWHH E\ ORW IURP WKH UHPDLQLQJ VWDQGLQJ S
3UHVLGHQW RI WKH 8QLYHUVLW\ RU WKHLU GHVLJQHH DQG WK
WKHLU GHVLJQHH

7KH IDFXOW\ PHPEHU KDV RQH SHUHPSWRU\ FKDOOHQJH ZKLF
RI WKH WKUHH SDQHO PHPEHUV DV GRHV WKH 3UHVLGHQW RI
LV WR GLUHFW DQG VXSHUYLVH WKH KHDULQJ SURFHVV SDUW
DQG HQVXUH LQVRIDU DV SRVVLEOH WKDW IROORZLQJ WKH K
FOHDUO\ DUWLFXODWHG GHFLVLRQ ZLWKLQ WHQ ZRUNLQJ
WKHPVHOYHV LI WKDW LQGLYLGXDO EHOLHYHV WKH\ FDQQRW L
PHPEHU 7KH 2IILFH RI WKH *HQHUDO &RXQVHO DQG ZKHQ UHD
WKH QDWLRQDO $$83 ZLOO FRQGXFW DSSURSULDWH WUDLQLQ

:LWKLQ WHQ ZRUNLQJ GDYV RI WKH &RPPLWWHH WKH ZLOO HV
VSHFLILF WLPH DQG SODFH IRU WKH KHDULQJ DQG ZLOO FRPPX
PHPEHU ZKR LV FKDOOHQJLQJ WKHLU QRQUHQHZDO DQG WKH 3
ZRUNLQJ GD\V ZLOO EH DOORZHG IRU WKH IDFXOW\ PHPEHU

7KH SURFHHGLQJV RI WKH &RPPLWWHH DUH SULYDWH DQG SX
QRQUHQHZDO E\ WKH IDFXOW\ PHPEHU XQWLO WKH &RPPLWWHH
EH DYRLGHG

%RWK WKH IDFXOW\ PHPEHU DQG WKH 3URYRVW DUH HQWLWOH
HDFK LV HQWLWOHG WR WKH DVVLVWDQFH RI OHJDO FRXQVHO
7KH IDFXOW\ PHPEHU¶V FKDOOHQJH DQG WKH DGPLQLVWUDWLP
DQG DUJXHG E\ WKH IDFXOW\ PHPEHU DQG WKH 3URYRVW UHV
UHSUHVHQWDWLYH RI WKH IDFXOW\ PHPEHU¶V RU RI WKH 3URY
SURFHHGLQJV KRZHYHU LV D OLPLWHG RQH ,Q WKH HYHQW W
VXFK D GHJUHH WKDW WKH\ &RPPLWWHH &KDLU DQG WKH
WR WDNH VXFK VWHSV DV DUH QHFHVVDU\ WR HQVXUH WKH H[
KHDULQJ 7KH &RPPLWWHH ZLOO GHWHUPLQH WKH RUGHU RI S
SUHVHQWDWLRQ RI HYLGHQFH LPSRUWDQW WR WKH FDVH DQG
ZLWQHVVHV WKH IDFXOW\ PHPEHU DQG WKH 3URYRVW

7KH SXUSRVH RI WKH SURFHHGLQJV LV WR SURYLGH WKH DIIHF
KDYH WKHLU DFDGHPLF IUHHGRP FODLP DVVHVVHG E\ SHHUV
-XGLFLDO &RPPLWWHH DUH LQIRUPDO WKH UXOHV RI FRXUW S
QRW DSSOLFDEOH 7KH SULQFLSDOV DQG DOO ZLWQHVVHV DUH
SUHVHQWDWLRQV DQG UHSUHVHQWDWLRQV DQG DOVR WR UHV
$Q RSSRUWXQLW\ ZLOO EH JLYHQ WR WKH IDFXOW\ PHPEHU GL
PDNH DQ RUDO SUHVHQWDWLRQ DQG D VLPLODU RSSRUWXQLW
FRXQVHO RU RWKHU UHSUHVHQWDWLYH 7KH IDFXOW\ PHPEHU
WKDW WKHLU QRQUHQHZDO ZRXOG FRQVWLWXWH D YLRODWLRQ
GLVSXWH WKH WHVWLPRQ\ RI ZLWQHVVHV DQG RWKHU HYLGHQ
7KH IDFXOW\ PHPEHU QRUPDOO\ ZLOO KDYH WKH RSSRUWXQLW
XQXVXDO DQG XUJHQW UHDVRQV PRYH WKH &RPPLWWHH WR ZL
UHWDOLDWLRQ RU ZKHUH WKH ZLWQHVV FDQQRW DSSHDU WK
VWDWHPHQWV RI WKH ZLWQHVV ZLOO EH GLVFORVHG WR WKH
DV WKH IDFXOW\ PHPEHU DQG 3URYRVW RU WKHLU UHSUHVHQ
ZLWQHVVHV ZKR WHVWLI\ RUDOO\ DW WKH KHDULQJ ZLWKLQ U

hoc -XGLFLDO &RPPLWWHH $ UHFRUG RI DOO SURFHHGLQJV ZLO
SULRU WR WKH H[SLUDWLRQ RI WKH IDFXOW\ PHPEHU¶V DSSRL
QWPHQW

$IWHU DOO HYLGHQFH *adhoc* V- XEPLWWHG &RPPLWWHH VKRXOG UHDF
SULYDWH FRQIHUHQFH RQ WKH VROH EDVLV RI WKH HYLGHQFH
UHQHZ WKH IDFXOW\ PHPEHU¶V DSSRLQWPHQW VKDOO EH XSKH
LW ZRXOG FRQVWLWXWH D YLRODWLRQ RI DFDGHPLF IUHHGRP
SURPSWO\ ZLWKRXW KDYLQJ WKH UHFRUG RI WKH KHDULQJ WU
GHFLVLRQ ZRXOG EH DLGHG *adhoc* WK HXGHLE\ LDSOP&RMRRULWWHHH WVK HU HTX
UHQGHULQJ D GHFLVLRQ ,Q WKRVH FDVHV ZKHUH WKH GHFLVL
EH ILOHG 7KH &RPPLWWHH VKDOO PDNH H[SOLFLW ILQGLQJV D
DFDGHPLF IUHHGRP KDV EHHQ YLRODWHG DQG VKDOO UHSRUW
8QLYHUVLW\ ZLWK FRSLHV JRLQJ WR WKH DIIHFWHG IDFXOW\ I
ZLOO DOVR SURYLGH WKH IDFXOW\ PHPEHU DQG RU WKH 3URYR
XSRQ WKHLU UHTXHVW $OO SDUWLHV DUH REOLJDWHG WR WU
WKH WUDQVFULSW RI WKH KHDULQJ DV SULYDWH FRPPXQLFDWL

7KH 3UHVLGHQW PD\ *adhoc* WKH GHFLDO &RQPLWWHH LQWR HIIHFW
PD\ GHFLGH WR UHYLHZ WKH FDVH ,I WKH 3UHVLGHQW HOHFW
EDVHG RQ WKH UHFRUG RI *adhoc* -XGLFLDO &RPPLWWHH DQG VKDOO
DUJXPHQWV E\ WKH SULQFLSDOV LQYROYHG 7KH 3UHVLGHQW
XQOHVV WKH\ ILQG WKDW WKH GHFLVLRQ LV DUELWUDU\ FDSU
&RPPLWWHH V GLVFUHWLRQ

6. Grounds for Termination of Contract or Lett H
p 0 H

:LWKLQ WHQ ZRUNLQJ GD\V RI WKH &RPPLWWHH ZLWK WKH
VSHFLILF WLPH DQG SODFH RI WKH PHHWLQJ DQG WKH
PHPEHU ZKRVH GLVPLVVDO LV VRXJKW DQG WKH 3URYRVW ,Q
WKH IDFXOW\ PHPEHU DW OHDVW ILIWHHQ ZRUNLQJ GD\V
DGPLQLVWUDWLRQ DQG WKH PHPEHU ZLOO H[FKDQJH WKH QDPHV RI
GRFXPHQWV WKDW ZLOO EH XVHG LQ WKH FDVH ,I FDOOHG XS
IDFXOW\ PHPEHU ZLOO EH &RPPLWWHH LQ VHFXULQJ
GRFXPHQWV

$W WKHLU UHTXHVW RQO\ WKH IDFXOW\ PHPEHU PD\ EH WHPSL
RUGHU WR SUHSDUH D GHIHQVH)XOO VDODU\ DQG EHQHILW S
GXWLHV $GGLWLRQDOO\ WKH 8QLYHUVLW\ DGPLQLVWUDWLRQ
GXWLHV XQGHU 6HF ,,, ,

1RW OHVV WKDQ ILYH ZRUNLQJ GD\V EHIRUH WKH GDWH VHW
REOLJDWHG WR DQVZHU WKH VWDWHPHQWV LQ WKH 8QLYHUVL
DGGUHVVHG WR WKH &RPPLWWHH ZLWK D FRS\ JLYHQ WR WKH

7KH SURFHHGLQJV RI WKH &RPPLWWHH DUH SULYDWH DQG SX
GLVPLVVDO E\ WKH IDFXOW\ PHPEHU WKH 8QLYHUVLW\ &RPPLWWHH
VKRXOG EH DYRLGHG $GGLWLRQDOO\ QHLWKHU WKH IDFXOW\
PD\ UHWDOLDWH DJDLQVW DQ\ ZLWQHVV LQ DQ\ ZD\ HYLGHQFH
DQG FRQVLGHUHG E\ WKH &RPPLWWHH

%RWK WKH IDFXOW\ PHPEHU DQG WKH 3URYRVW DUH HQWLWOH
HDFK LV HQWLWOHG WR WKH DVVLVWDQFH RI OHJDO FRXQVHO
7KH 8QLYHUVLW\ DGPLQLVWUDWLRQ¶V FDVH IRU GLVPLVVDO DG
SUHVHQWHG DQG DUJXHG E\ WKH 3URYRVW DQG WKH IDFXOW\
RWKHU UHSUHVHQWDWLYH RI WKH IDFXOW\ PHPEHU¶V RU WKH
SURFHHGLQJV KRZHYHU LV D OLPLWHG RQH ,Q WKH HYHQW W
VXFK D GHJUHH WKDW WKH\ DUH KLQGHUHG LQ DQ\ PDQQHU W
VWHSV DV DUH QHFHVVDU\ WR HQVXUH WKH H[SHGLWLRXV DQG
&RPPLWWHH ZLOO GHWHUPLQH WKH RUGHU RI SUHVHQWDWLRQ
RI HYLGHQFH LPSRUWDQW WR WKH FDVH DQG KDV WKH SULPD
IDFXOW\ PHPEHU DQG WKH 3URYRVW

,Q FDVHV LQ ZKLFK WKH DOOHJHG FDXVH IRU GLVPLVVDO
@À
@‡DQW

8. Suspension from Duties during Consideration of Termination

$ IDFXOW\ PHPEHU ZKR LV EHOLHYHG WR KDYH FRPPLWWHG DF
EH LPPHGLDWHO\ VXVSHQGHG IURP DQ\ RU DOO RI WKHLU DVVL
8QLYHUVLW\ MXGJHV WKDW VHULRXV LPPHGLDWH KDUP ZRXOG
VWXGHQWV WR RWKHU LQGLYLGXDOV RU WR WKH 8QLYHUVLW
VSHFLILF VWDWHPHQW RI WKH FDXVHV IRU WKH DFWLRQ DQG W
VKRXOG EH SURPSWO\ SURYLGHG WR WKH IDFXOW\ PHPEHU %
SURYLGHG WR WKH IDFXOW\ PHPEHU SHQGLQJ WKH FRQFOXVLR
SRVVLEOH UHYLHZ DV SURYLGHG EHORZ

$W DQ\ WLPH DIWHU WKH IXOO SDQHO &RPPLWWHH WKH 3UHVLGHQ
PD\ DVN WKH 3URIHVVLRQDO 5HODWLRQV &RPPLWWHH WR UHYL
SURFHHGLQJV 8SRQ UHIHUUDO E\ WKH 3UHVLGHQW WKH 3URI
GHWHUPLQH ZKHWKHU WKH VXVSHQGHG IDFXOW\ PHPEHU KDV
WLPHO\ FRQGXFW RI WKH SURFHHGLQJV 7KH &RPPLWWHH VKD
3UHVLGHQW WKH 3UHVLGHQW RI WKH)DFXOW\ 6HQDWH DQG W
&RPPLWWHH GHWHUPLQHV E\ D SUHSRQGHUDQFH RI HYLGHQFH
QRW DFWHG LQ JRRG IDLWK WKH 3UHVLGHQW PD\ ZLWKKROG W
FRQFOXVLRQ RI WKH SURFHHGLQJV ,Q WKH HYHQW WKDW WKH
EH UHLPEXUVHG WKH VDODU\ WKDW KDG EHHQ ZLWKKHOG ,I W
KDV QRW RFFXUUHG LW VKDOO HVWDEOLVK DQ H[SHGLWLRXV
EURXJKW WR DQ RUGHUO\ FRQFOXVLRQ

9. Sanctions Short of Termination

D)RU VHULRXV VDQFWLRQV VKRUW RI WHUPLQDWLRQ ,I WKH
PHPEHU KDV HQJDJHG LQ VHULRXV PLVFRQGXFW WKDW LV
VHYHUH VDQFWLRQ VXFK DV VXVSHQVLRQ IURP VHUYLFH
WKH DGPLQLVWUDWLRQ ZLOO QRWLI\ WKH IDFXOW\ PHPEHU
DQG SURYLGH WKH IDFXOW\ PHPEHU ZLWK WKH RSSRUWXQ
WR LPSRVH WKH VDQFWLRQ ,I WKH DGPLQLVWUDWLRQ SUR
PHPEHU PD\ SHWLWLRQ WKH 3URIHVVLRQDO 5HODWLRQV &
hoc -XGLFLDO &RPPLWWHH ,I WKH 3URIHVVLRQDO 5HODWLR
IDFXOW\ PHPEHU KDV UDLVHG D VXEVWDQWLDO GRXEW DV
VKDOO UHIHU WKH -XGLFLDO &RPPLWWHH IRU UHYLHZ XQG
DQG VWDQGDUGV VHW IRUWK LQ 6HF ,,, DERYH DQG W
VXVSHQGHG SHQGLQJ FRPSOHWLRQ RI WKH UHYLHZ H[FHS
VDQFWLRQ ZRXOG FRQVWLWXWH D EUHDFK RI OHJDO REOL
SHUIRUPDQFH RI DQ\ 8QLYHUVLW\ REOLJDWLRQ RI D IDFXO
D VXEVWDQWLDO ULVN RI VHULRXV SK\VLFDO LQMXU\ WR D
FRQGXFW WKDW FRQVWLWXWHV ¶ DK D DDVUHQRO SWQRLRV W

$ IDFXOW\ PHPEHU ZKR EHOLHYHV WKDW D PLQRU VDQFWL
WKLV SDUDJUDSK RU WKDW D PLQRU VDQFWLRQ KDV EHH
3URIHVVLRQDO 5HODWLRQV &RPPLWWHH IRU VXFK UHYLHZ
DV PD\ EH DSSURSULDWH 7KH LPSRVLWLRQ RI D VDQFWLR
FRPSOHWLRQ RI WKH UHYLHZ RI WKH 3URIHVVLRQDO 5HOD

10. Grievances and Appeals

a. Professional Relations Committee

7KH)DFXOW\ 6HQDWH 3URIHVVLRQDO 5HODWLRQV &RPPL
JULHYDQFHV DQG VFUHHQLQJ DSSHDOV RI QRQUHQHZDO
VDQFWLRQV VKRUW RI WHUPLQDWLRQ

,Q PDWWHUV FRQFHUQLQJ YLRODWLRQ RI WKH 8QLYHUVL
KDUDVVPHQW RU UHWDOLDWLRQ DSSHDOV IURP WKH DG
8QLYHUVLW\ SROLF\ DUH GLUHFWHG WR WKH 3URIHVVL
VDQFWLRQ LV WHUPLQDWLRQ RU D VHULRXV VDQFWLR
VHW IRUWK LQ 6HFV ,,, , DQG ,,, , VKDOO EH IROOR

7KH &RPPLWWHH QRUPDOO\ FRQVLVWV RI D IDFXOW\ PHP
IUHHVWDQGLQJ 6FKRROV DQG WKH /LEUDULHV RI WKH 8Q
)DFXOW\ 6HQDWH

7KH 2IILFH RI *HQHUDO &RXQVHO DQG ZKHQ UHDVRQDEO
QDWLRQDO $$83 ZLOO FRQGXFW DSSURSULDWH WUDLQLQ
PHPEHUV RI LWWKWH&RPP

*ULHYDQFHV DUH FRQVLGHUHG E\ JULHYDQFH VXEFRPPL
PHPEHUV RI WKH)DFXOW\ 6HQDWH 3URIHVVLRQDO 5HOD
WKH IDFXOW\ FKRVHQ E\ WKH 3URIHVVLRQDO 5HODWLRQ
EDVLV RI NQRZOHGJH RI WKH JHQHUDO LVVXHV LQYROYH
DFKHDLUHG E\ D PHPEHU RI WKH)DFXOW\ 6HQDWH 3UR D

WR GLVPLVV D JULHYDQFH LQ ZKROH RU LQ SDUW ZKHQ
RSSRUWXQLW\ KDG EHHQ DIIRUGHG WR WKH JULHYDQW W
3URIHVVLRQDO 5HODWLRQV &RPPLWWHH KDG SUHYLRXVO

SXUSRVH DQG ZKR DUH QRW FXUUHQWO\ PHPEHUV RI W
%RWK SDUWLHV LQ WKH JULHYDQFH PXVW EH FRQVXOW

8QOHVV RWKHUZLVH SURYLGHG E\ WKHVH UHJXODWLRQV
SURFHVV ZLOO EH LQIRUPDO LQ QDWXUH DQG GHWHUPLQ
IDFXOW\ PHPEHU DSSHDUV EHIRUH WKH &RPPLWWHH WK
DGYLVRU 6XFK DQ DGYLVRU KRZHYHU ZLOO QRW EH SH
&RPPLWWHH SURFHHGLQJV

7KH &RPPLWWHH VXEPLWV LWV ILQGLQJV DQG UHFRPPHQ
DOO SDUWLHV LQYROYHG LQ WKH JULHYDQFH

7KH 8QLYHUVLW\ DGPLQLVWUDWLRQ PXVW QRW UHWDOLD
LQVWLWXWLQJ D JULHYDQFH

c. Limitations of Authority

2WKHU WKDQ LQ FDVHV RI LQIULQJHPHQW RI DFDGHPLF IU
VDODULHV DUH QRW JULHYDEOH XQOHVV WKHUH KDV EHH
EDVH VDODU\ ,I WKHUH LV D XQLW EDVHG UHYLHZ E\ D F
IDFXOW\ RU LI D FOHDUO\ HVWDEOLVKHG ZULWWHQ DJUH
PRGLILFDWLRQV H[LVWV ZLWKLQ D XQLW H J 6/8&DUH
5HODWLRQV &RPPLWWHH ZLOO GHIHU WR WKH ILQDO GHF
3URIHVVLRQDO 5HODWLRQV &RPPLWWHH ILQGV WKDW WK
DQ DEXVH RI GLVFUHWLRQ

7KH 3URIHVVLRQDO 5HODWLRQV &RPPLWWHH KDV QR DXW
GHVLJQDWHG LQ WKH *XLGH DQG QRW VXEMHFW WR DSSHDO

7KH 3URIHVVLRQDO 5HODWLRQV &RPPLWWHH KDV QR DXW
PDGH SXUVXDQW WR WKH 6WDII ,QWHUDFWLRQ DFDGHPLF UHRUJDQL]DW
UHDOORFDWLRQ DQG ILQDQFLDO H[LJHQF\

7KH 3URIHVVLRQDO 5HODWLRQV &RPPLWWHH KDV QR DX
,QVWLWXWLRQDO 5HYLHZ %RDUG GHFLVLRQV

7KH 3URIHVVLRQDO 5HODWLRQV &RPPLWWHH KDV QR DXW
DQG GHWHUPLQDWLRQV E\ WKH 9LFH 3UHVLGHQW RI &RPS
5HVHDUFK RU WKH 9LFH 3UHVLGHQW IRU 0HGLFDO $IIDLU
ZKHQ LQWHUSUHWLQJ FXUUHQW FRQIOLFW RI LQWHUHVW
WKH 3URYRVW +RZHYHU VDQFWLRQV LPSRVHG XSRQ D I
WR GHFLVLRQV WKDW SURFHHG IURP D FRQIOLFW RI LQW

$FWLRQV RI SURIHVVLRQDO FUHGHQWLDOLQJ OLFHQVLQJ
LQFOXGLQJ 6/8&DUH DUH QRW JULHYDEOH)XUWKHU WK
RUJDQL]DWLRQV DUH ILQDO IRU SXUSRVHV RI DQ\ VXEVH
7KH 3URIHVVLRQDO 5HODWLRQV &RPPLWWHH KDV Q
ILQGLQJV DQG GHWHUPLQDWLRQ RI UHVHDUFK PLV
IXQFWLRQLQJ LQ DFFRUGDQFH ZLWK WKH

WHQXUH WUDFN DSSRLQWPHQW EHIRUH WKH HQG RI WKH VSHF
FLUFXPVWDQFHV EHFDXVH RI WKH QHHG IRU DFDGHPLF UHDOO
SURFHHGV IURP VHULRXV GRFXPHQWHG FRQFHUQV DERXW D S
WKH PLVVLRQ RI WKH 8QLYHUVLW\ RU FKDQJHV LQ HQUROOPH
QDWXUH)XQGV VDYHG WKURXJK WKLV PHDQV LQFOXGLQJ VDC
RQ SUREDWLRQDU\ DQG QRQ WHQXUH WUDFN DSSRLQWPHQWV
DSSRLQWPHQWV ZLWK WHQXUH DUH W\SLFDOO\ LQYHVWHG LQ
UHDOORFDWLRQ PD\ EH LQLWLDWHG E\ DQ DFDGHPLF XQLW WI
,Q WKRVH FDVHV LQ ZKLFK UHDOORFDWLRQ LV QRW LQLWLDWH
SULQFLSOHV RI FROOHJLDOLW\ DQG VKDUHG JRYHUQDQFH WK
EHIRUH IRUPDOO\ SURSRVLQJ DFDGHPLF UHDOORFDWLRQ VKD
&RPPLWWHH²DQG ZLWK WKH 'HDQ RU FRPSDUDEOH DGPLQLVWU
DIIHFWHG &ROOHJH 6FKRRO /LEUDU\ 'HSDUWPHQW RU SURJ
UHDOORFDWLRQ DQG WKH HYLGHQFH VXSSRUWLQJ LW :KLOH W
([H GpDU\QG P@EPU°€0
&RPPLWWHH LQ FRQVXOWDWLRQ ZLWK WKH DIIHFWHG IDFXOW
SURSRVHG UHDOORFDWLRQ 7KH %RDUGð€)DI 7UXVWHHVOWLPD
UHDOORFDWLRQ 7KH)DFXOW\ 6HQDWH ([HFXT@PÀQG P@@HH V
DQG WKH)DFXOW\ $`€EO\ )DP HTXLYDOHQW JURXS DI WKH D@
DOW U @pÀ•HV GLUHFWO\ ]• WKH %RDUGð€)DI 7UXVWHHVV GHVL

))DP WKH SXUSRVHV@fHFWBQ WKH G@FRQWLQXDQFH RI D SUR
W PPLQDWLRQOO WLPH IDFXOW\HPE@P GRHV QRW FRPQW @€WH
GL` WLQXDQF@ RI D UHFHQWO\ DSSURYHG SURJUDP ZKLFK DI
WR€ HHW OOPHQW€)@DP I@FDORDOV HPW EOL°€p DW€ KH WLPH
SURJUDP¶V G@FRQWLQXDQFH UHVXOWV LQ WKH QRPQ HQHZDO R

13. Financial Exigency

8QOLNH DFDGHPLF UHRUJDQL]DWLRQPLF UHDOORFDWLP)D IADQ
ŽKSLUFZKDWOpkHHWWQLMH@U Y@L@WHUVDHF[L@PW€EDE€GRHOpPLKDWJ€LIQDS&)DOOHJH

DSSURSULDWH DGPLQLVWUDWRUV UHSUHVHQWDWLYHV RI WKH
DGPLQLVWUDWRU DQG UHSUHVHQWDWLYHV RI WKH)DFXOW\ $V
6FKRROV 'HSDUWPHQWV RU /LEUDULHV DIIHFWHG 7KH FRPPL