



PALO ALTO UNIVERSITY

FACULTY HANDBOOK, Section B

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INTRODUCTION TO THE FACULTY HANDBOOK

This *Faculty Handbook* has been prepared in order to compile the University's policies and procedures that pertain to the University's faculty members and is approved by the Board of Trustees.

PART I. OVERVIEW OF THE UNIVERSITY

D. ACCREDITATION AND LICENSURE

PAU is accredited by the Accrediting Commission for Senior Colleges and Universities of the Western Association of Schools and Colleges (WASC, since 1987), and its Ph.D. program is accredited by the American Psychological Association (APA, since 1988). The Psy.D. program has been accredited by APA since 2006, the first year in which it was eligible for APA accreditation.

Students and faculty directly benefit from various research, internship, and educational financial aid programs that require enrollment in or graduation from an APA-approved program.

The National Register of Health Service Providers in Psychology has approved listing the University as a Designated Doctoral Program in Clinical Psychology and the University graduates of the Ph.D. and Psy.D. programs are eligible for application to the National Register's Directory.

The University is committed to preparing its doctoral students for state licensure. Students receiving a doctoral degree from the University and completing 1,500 hours of appropriately supervised post-doctoral internship hours are eligible to sit for licensure examination in the State of California and other states.

Up to date information concerning the academic programs offered by PAU is contained in the Catalog/Student Handbook that is available on our website at www.paloalto.edu. Documents describing the licensing, approvals to operate, accreditation of PAU by WASC, and accreditation by APA are available in the Research Library.

PAU's faculty members serve as students' mentors, modeling a commitment to the integration of scientific foundations and professional practices.

All components of the didactic and experiential preparation of students are consistent with the American Psychological Association's Ethical Principles of Psychologists. Sensitivity to issues related to cross-cultural, multi-ethnic, and other individual differences are reflected in all educational efforts of the University.

E. OBJECTIVES

The University offers the Ph.D. and Psy.D. in clinical psychology. The primary goals are to train psychologists: whose work is firmly grounded in theory and informed by current research; who can function effectively as independent practitioners; and who can critically evaluate and perform research that will contribute to the academic discipline of scientific psychology. The University places a high value on scholarship, research and clinical training. Through training programs that integrate psychological theory, clinical practice, and research, students gain:

- Knowledge of the philosophical origins and history of psychology as a discipline
- An understanding of and ability to evaluate critically theoretical concepts in affective, biological, cognitive, and social bases of behavior; life-span developmental psychology; and personality, psychopathology, and psychotherapy theory and process
- An understanding of the principles of scientific inquiry and the various research methodologies applicable to the study of human behavior
- Mastery of the clinical skills needed for professional practice in a variety of settings (doctoral and masters programs only)
- An ability to formulate a research question and carry out an independent investigation that makes an original and significant contribution to scientific knowledge in psychology (Ph.D. program only)
- An ability to function as critical consumers of the scientific literature (Psy.D. program only)
- An awareness of a variety of socially important issues and commitment to public service
- An ability to work cooperatively with colleagues at many levels of service in the helping professions
- A commitment to the ethical standards of psychology
- A commitment to continuing personal and professional development

F. METHOD

The University considers an integration of scholarship, practical experience, and research the best training model for preparing psychologists to meet the highest standards of clinical practice and scholarly research. The integration of academic work, clinical training, and research experience begins early in the student's training and continues throughout the graduate career. Three training mechanisms are emphasized: academic learning in classroom settings; direct experience in supervised settings; and exposure to and interaction with appropriate role models.

G. DIDACTIC TRAINING

The classroom is viewed as a forum for critical inquiry where teacher and student alike face the challenge of scholarship. Hence, didactic training occurs in the traditional classroom setting. Faculty members encourage students to take a proactive and independent approach to their studies.

Course content in all areas includes classic scholarly works as well as current theoretical concepts and research. Both theory and research are critically evaluated in the classroom and openness to new ideas is encouraged. Faculty members are encouraged to discuss research and theory as they relate to clinical practice.

H. DIRECT EXPOSURE

High quality clinical and research training in the doctoral programs depends on closely supervised experience in a variety of settings. Practicum placements in the PAU Gronowski Clinic or other PAU approved beginning practica sites provide professional experience early in the training program for the Ph.D. and Psy.D. students. Practicum assignments for students with advanced standing are designed to provide appropriate clinical experiences. Practicum placements are made after a careful evaluation by the faculty of the students' clinical interests, goals, and training needs. Students have practicum placements in community settings that provide a wide range of clinical experiences. The internship, which occurs later in the students' training, is viewed as a mechanism for integrating and expanding upon earlier experiences in the field.

Doctoral students also are engaged in directed research starting in the second year of graduate study. Research groups involve students in clinical and basic research conducted by PAU's faculty. The dissertation is viewed as central to the student's training experience. From the didactic training, participation in research activities under supervision and the formulation of a research question and completion of an independent and original investigation come the experiences necessary to critically evaluate research and an appreciation of the research process, based on experience.

I. ROLE MODELS

Academic training that meets the highest standards of academic scholarship and professional practice rests on a faculty of experts who provide the enthusiasm, knowledge, and insights of those actively working to provide answers to central questions in their field. Students are exposed to faculty who are actively engaged in clinical practice and research. Students experience firsthand a multi-disciplinary effort toward clinical service and scientific inquiry with clear role models that demonstrate the unique contribution of psychology to the helping professions. Faculty are encouraged to share work samples – whether clinical or research – with students both in the classroom and in independent study. The colloquium serves as a formal mechanism for faculty and invited professionals to share their current work with PAU's community.

Graduate students in the program are exposed to a range of professional role models early in graduate training in field placements where psychologists serve in a variety of capacities. Special value is placed on field placements, practicum assignments, and internship sites, where licensed psychologists are engaged in both clinical service and research. Students also may serve as research and teaching assistants—another opportunity for direct modeling of the many professional roles available to psychologists.

J. MASTER'S PROGRAMS AND UNDERGRADUATE PROGRAMS

The master's programs have been designed to meet national accreditation standards when those apply. In the case of the Mental Health Counselor program the accreditation body is the Council for Accreditation Counseling and Related Educational Programs (CACREP).

The undergraduate psychology programs have been designed using APA's guidelines for undergraduate education in psychology. The goals and outcome measures embedded in the programs are consistent with national standards.

K. ACADEMIC GOVERNANCE

Overall responsibility for the leadership of the academic programs at PAU is delegated by the Board of Trustees to the President, who in turn delegates management responsibility to the Vice President of Academic Affairs (VPAA) and the Dean of Academic Administration and Operations. The President retains authority and responsibility of the Board of Trustees. The Dean of Academic Administration and Operations is responsible to the VPAA for the oversight of both financial and quality aspects of all academic programs at the school. All faculty members and academic staff report to the Dean of Academic Administration and Operations through their program Directors.

L. ORGANIZATION OF THE ACADEMIC PROGRAMS

Each degree program has a Director (D/DCT), who serves as the head of the program. Directors of the doctoral programs in clinical psychology are termed Directors of Clinical Training (DCT). A program Director is an administrative faculty member, who may be nominated by the faculty of that division, and is selected and appointed by the Dean of Academic Administration and Operations. Program Directors report directly to the Dean of Academic Administration and Operations. The Dean of Academic Administration and Operations is appointed by and reports directly to the VPAA and is responsible for a variety of faculty activities and policies.

M. PROGRAM DIRECTOR/DIRECTOR OF CLINICAL TRAINING (D/DCT)

The Director/Director of Clinical Training is the head of a degree program division. Each D/DCT has a program budget to manage, subject to review by the Dean of Academic Administration and Operations, and may reallocate funds within the boundary of the budget. The Dean of Academic Administration and Operations retains final authority for program budgets, and all program expenditures require the written authorization of the Dean. The need of the D/DCT to have flexibility to respond to emerging circumstances and needs is recognized, however.

Each year, each faculty member is assigned to serve within one (or more) program division(s). This assignment follows the recommendation of the D/DCTs. There must be a clear determination of the percentage of effort of the faculty member that is allotted to each division.

Each D/DCT directs all aspects of didactic, clinical, and research training, and professional mentoring for the division headed, including curriculum, faculty teaching and service assignments, and student evaluation. In carrying out this task the D/DCT has the specific authority to assign faculty to teach classes; to serve on division and school committees; to chair division and school committees; to accept students for advising and research mentoring; to advise student groups; and to any other activities as may be necessary for the proper conduct of the program. In all situations, teaching assignments for classes must be approved by the D/DCT before any contracts are signed or schedules published. The D/DCT also has the authority to provide incentives for faculty performance.

The D/DCT monitors faculty performance in teaching and advising at least quarterly, and annually prepares a summary of each faculty member's work for the consideration of the Dean of Academic Administration and Operations and the Faculty Standards and Review Committee, which is chaired by a senior faculty member appointed by the Dean of Academic Administration and Operations. The D/DCT appoints and supervises all program specific leaders as necessary and constitutes all committees as necessary to assure the effective functioning of the program division. The Dean of Academic Administration and Operations appoints and supervises all offices, including personnel who provide services for more than one program (e.g., training clinic directors). D/DCTs may recommend faculty discipline related to the performance of faculty teaching, research, and service responsibilities. The Dean of Academic Administration and Operations retains the sole authority to recommend disciplinary faculty actions to the VPAA. The President has final authority regarding faculty disciplinary actions.

The D/DCT has the first line responsibility for addressing faculty problems and recommending disciplinary action. These recommendations are subject to consultation with and review by the Dean of Academic Administration and Operations. The D/DCT and Dean of Academic Administration and Operations share information on active faculty discipline situations/problems in a timely manner, so that each can provide meaningful counsel to the other. On matters related to faculty employment issues, the Dean of Academic Administration and Operations consults with the D/DCT, and weighs heavily the recommendations of the D/DCT.

It is the responsibility of the administration, that is, the President, the Vice President of Academic Affairs, and the Dean of Academic Administration and Operations, to make final decisions regarding faculty discipline related to appointment, leaves, censure, or dismissal.

N. THE DOCTORAL PROGRAMS FACULTY

The faculty of PAU doctoral programs is organized as a Faculty Council. The Doctoral Programs Faculty Council (hereafter, simply the "Faculty Council") elects a Chair of the Faculty Council. The Chair of the Faculty Council cannot be a D/DCT, another program Director, or the Dean, since these persons are administrative faculty, responsible solely to the VPAA.

The Faculty Council may request regular or periodic meetings between their leadership and/or the group as a whole, and members of the administration (D/DCTs, Dean of Academic Administration

and Operations, VPAA, President) to ask questions, receive information on specific areas of interest to them, or to give Faculty Council recommendations. These areas of interest might include, but are not limited to, such things as: the academic and school budget; new programs planned or being considered; faculty and staff issues. The administration may request regular or periodic meetings with the Faculty Council and/or their leadership. The Faculty Council is the formal representative body of the PAU doctoral program faculty and acts as an advisory body to the school administration; it is not a governing or administrative body.

The faculty retains responsibility for the development of curriculum and for the evaluation of student performance, subject to final authority of the Administration.

O. UNIVERSITY-WIDE GOVERNANCE COMMITTEES

The work of effective governance depends on maintaining an effective organization of committees. The following committees represent university-wide and program/division standing committees of the institution. These committees provide consultation to the D/DCTs and the Dean of Academic Administration and Operations regarding the matters that fall within their respective domains of responsibility.

Faculty Standards and Review Committee (Doctoral Programs)

The Faculty Standards and Review Committee (FSRC) is chaired by a senior faculty member appointed by the consensus decision of the D/DCTs. The FSRC evaluates information and materials submitted by D/DCTs and doctoral program faculty, for annual performance review, promotion candidacy, and appointment-related recommendations for all doctoral program (Ph.D. and Psy.D.) faculty. The FSRC brings forward nominations for promotion. The FSRC is made up of all Tenure Line and Teaching/Scholar Line faculty at the Associate and Full Professor ranks; members of the FSRC participate in decisions only regarding faculty in their own faculty lines (Tenure vs. Teaching/Scholar). Further, members of the FSRC participate in decisions only regarding faculty members who are below the members' ranks with the exception of full professors who also review full professors.

Institutional Review Board

The Institutional Review Board (IRB) reviews and judges all protocols pertaining to research with human participants. The IRB is responsible for assuring that all research with human participants meets all ethical and legal standards. The IRB makes available relevant information regarding regulations and ethical principles governing the protection of human participants in research, and monitors compliance with approved protocols. The IRB is comprised of both faculty and public members. The IRB is chaired by a faculty member agreed upon by the D/DCTs of the training programs and the Dean.

Institutional Appeals Committee

The chair and members of the Institutional Appeals Committee (IAC) are appointed by the President and includes faculty members. The IAC hears grievances filed by PAU students and staff. The IAC makes recommendations to the President for his final decision.

Library Committee

The Library Committee (LC), chaired by the Vice President for Information Resources, is responsible for advising the Vice President for Academic Affairs on all matters pertaining to the library (e.g., establishing library policy, library goals, and making recommendations for changes as appropriate). Faculty representatives are appointed annually by each DCT/DT for membership on this committee.

Space Committee

The VPAA serves as Chair of the Space Committee; two faculty members, one representing each of the on campus programs (Psy.D. and Ph.D.), are selected to serve on this committee by their DCTs. The mission of this Committee is to oversee and recommend assignment of space to ensure that faculty members have maximal availability of needed resources to support scholarly work. The committee seeks to resolve space disputes and advise the VPAA regarding allotment and expansion of space.

P. PROGRAM-WIDE GOVERNANCE COMMITTEE – PH.D.

Ph.D. Program

The Ph.D. Program/Division maintains a series of standing committees whose responsibility it is to provide consultation to the DCT and to carry out the mission of the program. The mission of these standing committees is defined by the DCT, in consultation with the Faculty Council, and the committees themselves may be supplemented by the appointment of ad hoc committees to address special and transitory needs of the program. The following standing committees serve to address the enduring concerns and responsibilities of the Ph.D. Program.

In order to manage program responsibilities, the Ph.D., Program maintains the following standing committees:

Leadership Committee

This committee serves as the executive committee for the Ph.D. program and is comprised of the Ph.D. program DCT, the Associate DCT, the External Practicum Coordinator, the Faculty Chair, the program student advisor and the Dean of Academic Administration and Operations. The Directors of the JD/Ph.D. Program and any other certificate or degree programs may or may not be included in this committee but will be available for consultation with the Leadership Committee. The Chair of this Committee is the Ph.D. program DCT. The Leadership Committee is responsible for administering the Ph.D. program, and for organizing periodic meetings of the Ph.D. faculty. They are also responsible for implementing decisions of the Faculty Council agreed to by the Ph.D. Program DCT. This committee is responsible for developing and monitoring all clinical activities of the Ph.D. Program, and for providing standards and guidelines for clinical training.

Admissions Committee

This Committee is comprised of as many pairs of Ph.D. Program faculty members as needed to review applications and to ensure that each application goes through two reviews (a pair of reviewers). At least one person from the JD/Ph.D. programs is included in these appointments. The pairs of faculty members each recommend applicants to be admitted to the Ph.D. Program and to the JD/Ph.D. Program. They also recommend to the Ph.D. DCT student applicants to whom fellowships might be awarded. Final decisions may be subject to Administration review in particular cases.

Comprehensive and Qualifying Examinations Committee

This Committee is comprised of Ph.D. Program faculty members who coordinate the Clinical Oral Competency Exam, the Clinical Comprehensive Exam, the Assessment Comprehensive Exam, the Research Comprehensive Exam, and the Oral Qualifying Requirement. The Committee is responsible for developing procedures and overseeing the development, administration, scoring and reporting of the results of these examinations, as well as handling challenges to the exams.

Curriculum Committee

This Committee is comprised of three faculty members selected at large by the Ph.D. DCT, and one (non-voting) student representative. This committee is responsible for periodic review of all courses, the overview of the curriculum to ensure that it meets the training objectives, and for handling grievances and complaints regarding course grades.

Student Evaluation Committee (SEC)

This committee is comprised of at least three members of the Ph.D. faculty selected at large by the DCT, and two members of the PAU staff (non-voting). The committee is responsible for reviewing all students' academic progress on a regular basis and for making decisions regarding academic probation, recommendations for dismissal, and other disciplinary actions. The committee notifies students of disciplinary actions and reviews grievances related to student performance, dismissal, and discipline. Action recommendations regarding dismissal are made to the President through the VPAA and the Dean of Academic Administration and Operations and the DCT.

Clinical Training Committee

This Committee is comprised of the DCT, the VP for Professional Development (without vote), the Director of the Gronowski Clinic and other faculty as assigned. The committee develops and oversees procedures for student application to external practicum sites, reviews and appoints appropriate practicum training facilities, and regularly evaluates practicum sites both within the VAPAHCS and at other community placements. It also assesses student issues that arise on practicum sites and internships and makes recommendations to the SEC with regard to how the student's situation should be handled.

JD/Ph.D. Committee

This Committee is comprised of two faculty from the Ph.D. program and one student from the JD/Ph.D. program. The Director of the JD/Ph.D. program serves as Chair. The committee oversees

the development of the program and makes recommendations to the faculty and to the JD/Ph.D. Director regarding faculty and curricular issues.

Ad hoc Committees

Ad hoc committees will be established as needed to address faculty hiring, student committees, and other issues that come before the Ph.D. Program DCT or the Faculty Council.

Q. PROGRAM-WIDE GOVERNANCE COMMITTEES – PSY.D. PROGRAM

Psy.D. Program/Division

All committees charged with managing the Psy.D. program are staffed only by PAU-STANFORD Psy.D. faculty who teach, advise, or supervise Psy.D. students. These committees have representatives from both the University and Stanford at all times. The standing committees for the Psy.D. Program include the following:

Student Evaluation Committee (SEC)

This committee is comprised of at least three members of the Psy.D. faculty selected at large by the co-DCTs, and two members of the program staff (non-voting). The committee is responsible for reviewing all students' academic progress on a regular basis and for making decisions regarding academic probation, recommendations for dismissal, and other disciplinary actions. The committee notifies students of disciplinary actions and reviews grievances related to student performance, dismissal, and discipline. Action recommendations regarding dismissal are made to the President through the VPAA and the Dean of Academic Administration and Operations and the DCTs.

Admissions Committee

This committee is comprised of as many pairs of program faculty members as needed to review applications and to ensure that each application goes through two reviews (a pair of reviewers). The pairs of faculty members recommend applicants to be admitted to the Psy.D. Program. They also recommend to the Psy.D. DCT student applicants to whom fellowships might be awarded. Final decisions may be subject to Administration review.

Executive Committee

This committee serves as the executive committee for the Psy.D. program and is comprised of the Psy.D. program co-DCT's, and other faculty as appointed by the program leadership. The Chairs of this Committee are the Psy.D. program co-DCT's. This committee is responsible for developing and monitoring all clinical activities of the Psy.D. Program, and for providing standards and guidelines for clinical training. The Dean of Academic Administration and Operations attends the Executive Committee as needed upon the invitation of the DCTs.

PGSP-Stanford Consortium Oversight Committee

PAU is ultimately responsible for the overall direction and administration of the PGSP-Stanford Consortium; however, in order to facilitate the member entities' commitment to central administration of the program, PAU delegates to the Consortium Oversight Committee all policy

and program decisions with regard to the direction and administration of the Consortium, except that any changes in class size resulting in a class size of greater than thirty students must be agreed to in writing by both member entities. The Oversight Committee is composed of individuals nominated by the Chair of the Stanford Department of Psychiatry and individuals nominated by the President of PAU. All decisions are made by majority vote.

Ad Hoc Committees

Ad hoc committees will be constituted as necessary to ensure the proper functioning of the program.

R. PROGRAM-WIDE GOVERNANCE COMMITTEES–DISTANCE LEARNING PROGRAM

This committee is comprised of all faculty who teach in the Distance Learning Program and is chaired by the Director of the DL Program. The committee oversees the development of the program and makes recommendations to the faculty and to the DL Director regarding student, faculty and curricular issues.

S. PROGRAM-WIDE GOVERNANCE COMMITTEES–UNDERGRADUATE PROGRAM

This committee is comprised of the program directors of the undergraduate programs at De Anza and Foothill Colleges and other faculty as deemed appropriate. The committee oversees the development of the program and makes recommendations to the faculty and to the Undergraduate Program Director regarding faculty and curricular issues.

PART II. FACULTY AFFAIRS

A. COMMUNICATION BETWEEN THE VPAA AND THE DEAN OF ACADEMIC ADMINISTRATION AND OPERATIONS AND THE FACULTY

In order for the business of the University to proceed in optimal fashion, it is acknowledged that communication between the administration and the faculty must be open, frequent and in both directions. This section summarizes expectations of each party and outlines a process that will help to achieve them.

The President is charged by the Board of Trustees with the task of directing and overseeing the management of the school, based upon the policies set by the Board. The President delegates to the VPAA and the Dean of Academic Administration and Operations the responsibility for the management of the academic programs of the school, including regular communication with the faculty, subject to final authority by the President.

The President, via the VPAA and the Dean of Academic Administration and Operations, delegates to the faculty the responsibility for advising the VPAA and the Dean of Academic Administration and Operations in matters affecting the academic programs of the school. The faculty is responsible for working with the VPAA and the Dean of Academic Administration and Operations in order properly to inform themselves of important situations at the school involving academic programs so as to provide informed recommendations to the VPAA and the Dean of Academic Administration and Operations on issues requiring action or further study. The VPAA and the Dean of Academic Administration and Operations is responsible for properly informing the faculty in order for the faculty to adequately discharge their responsibility to provide advice to the VPAA and the Dean of Academic Administration and Operations.

The Chair of the Doctoral Faculty Council has the responsibility of conveying doctoral program faculty-as-a-whole recommendations to the VPAA and the Dean of Academic Administration and Operations on any or all issues, or the Faculty Council may choose to convey those recommendations as a total body. These recommendations may be conveyed during regularly scheduled meetings or during ad hoc meetings with the VPAA and the Dean of Academic Administration and Operations, but will always be conveyed in writing.

The VPAA and the Dean of Academic Administration and Operations may accept or reject the recommendation of the faculty, in whole or in parts. If the VPAA and the Dean of Academic Administration and Operations rejects the recommendation of the faculty, the reasons for that rejection will ordinarily be conveyed to the faculty through their designated representative(s), within approximately two weeks of receipt of the initial faculty recommendation. The faculty may, if they choose, reconsider their recommendation in light of the VPAA's comments and submit a revised recommendation.

B. FREQUENCY OF AND RESPONSIBILITY FOR COMMUNICATION

The VPAA, the Dean of Academic Administration and Operations, and the faculty as a whole share responsibility for the frequency and the content of their communications. These communications take two general forms: one between the Dean of Academic Administration and Operations and specific program/division faculty through the respective D/DCT, and the other between the Dean of Academic Administration and Operations and the Faculty Council through the Faculty Chair.

The VPAA and the Dean of Academic Administration and Operations meets regularly with each D/DCT and much of the information shared in these meetings can and should be passed on to the faculty by the D/DCT. As well, information from the faculty should be passed on to the VPAA by the D/DCT. The D/DCT is part of the formal communication system between the faculty and the VPAA and the Dean of Academic Administration and Operations.

The VPAA and the Dean of Academic Administration and Operations meets with the Faculty Council regularly to share current issues and initiatives in the management of the academic programs of the school, possible impending issues, and new initiatives in academic program areas.

The VPAA and the Dean of Academic Administration and Operations maintains a prospective agenda for these scheduled meetings, which both the VPAA and the Dean of Academic Administration and Operations and the faculty are expected to contribute to. The agenda will be distributed one week before the scheduled meeting, and may be expanded up to the time of the meeting.

The VPAA and the Dean of Academic Administration and Operations and the Faculty Council are expected to formally meet more often as the context of the times demand, or as either feels necessary or useful.

The VPAA and the Dean of Academic Administration and Operations and organized subgroups of the Faculty (e.g. standing committees of the faculty; subsets of the faculty charged with specific tasks such as developing new programs; etc.) will share responsibility for identifying the frequency and the content of their task-centered meetings. The chairs of the faculty committees have a responsibility to inform the appropriate D/DCT, the Faculty Council, and the VPAA and the Dean of Academic Administration and Operations of substantive issues being considered or acted on.

The Faculty Council will elect a Faculty Chair as outlined in its by-laws.

C. AD HOC AND OTHER INFORMAL MEETINGS

The VPAA and the Dean of Academic Administration and Operations and the Faculty Council recognize that there are often reasons for individual faculty or for ad hoc subgroups of the faculty to meet and discuss the business of the school. The VPAA and the Dean of Academic Administration and Operations and the faculty will share responsibility for arranging for such informal meetings as determined by the needs of the school, or of the individual faculty.

D. SUBSTANCE OF COLLECTIVE AND PLANNED COMMUNICATION

Direct Student Experience

The faculty is acknowledged in other sections of the Faculty Handbook as generally the best arbiters of such academic issues as curriculum, student grades, and student advancement. The Dean of Academic Administration and Operations gives full consideration to faculty recommendations in these areas.

Faculty Composition And Evaluation

The composition of the faculty is the responsibility of the Administration who creates, eliminates, and distributes faculty positions across the various programs and faculty tracks. The faculty is responsible for evaluating potential and actual faculty members and making recommendations on appointment, reappointment, promotion, tenure, and retention.

E. STUDENT ADMISSIONS AND ADVISING FOR DOCTORAL PROGRAMS

Student Admission

Ultimate responsibility for admission recommendations rests with a faculty member appointed by the President, who acts on the recommendations of the Committee, subject to Administration review in particular cases. Faculty members are responsible for evaluating dossiers in an objective and timely fashion. Faculty members are also responsible for interviewing applicants as needed and welcoming applicants into their classes as visitors when appropriate.

Dossier Evaluation Procedure

The Admissions Office has responsibility for distribution of applicant files to the faculty, scheduling interviews with applicants and faculty, calculating applicant's final scores for

admissions decisions, maintaining applicant relations and services, and coordination of all aspects of the admissions process with the applicants, faculty and administration. When an application file is completed, the Admissions Office distributes copies to two (2) faculty readers. An applicant dossier is rated on a five (5) point scale for each of five (5) criteria:

Academic Competence:

Includes grade point averages in undergraduate and graduate degrees, difficulty of courses taken, the nature of the school, the number of withdrawals and incompletes, and scores on the GRE;

Writing Skills:

As judged from the autobiography and professional statements, and includes clarity of thought, organization, and technical perfection of the text;

Clinical Potential or Abilities:

As judged from the content of the autobiography and professional statements and the mention of clinical abilities in the letters of recommendation;

Research Potential or Abilities:

As judged by content of their response to the research question in the professional statement and the mention of research abilities/interests in the letters of recommendation and quantitative GRE scores.

Contribution to Diversity:

As judged by their letters of background and interest, students' abilities to contribute to the diversity of the program are assessed.

Outcome

Each reader recommends one of following: doctoral (Ph.D. or Psy.D.) admission, provisional doctoral (Ph.D. or Psy.D.) admission, Distance Learning Masters-level admission, and no admission. Differences in evaluator recommendations are resolved by a third reader. Recommendations are made to the faculty member appointed by the President who has final responsibility for admissions decisions.

The same procedure occurs for the other master's level programs and for the undergraduate programs.

Personal Interview Procedure

Personal interviews are organized by the admissions office. All doctoral program applicants will be interviewed, either in person or by phone.

Provisional Doctoral Admission Policy

At the discretion of the faculty reviewers, an applicant may be recommended for admission on a provisional basis. This provision will be explained to the applicant in the admission invitation letter.

The provision will state that the applicant must complete his/her first two (2) consecutive quarters and receive a grade of at least "B" in all courses. If any grade lower than "B" is received within the first two (2) quarters, the applicant's status will be evaluated by the Student Evaluation Committee and appropriate action will be taken. In addition to the above requirements, the faculty reviewers may specify particular courses which must be completed by the student in order to move from provisional to regular status.

The Admissions Office will monitor the progress of the student through the two (2) quarters. If the student receives all grades at least or above "B", the Admissions Office will remove the provisional status and inform the student that the provisions of his/her admission have been removed.

If the student receives any grade lower than a "B", the Admissions Office will immediately notify the Student Evaluation Committee which will review the case and recommend one of the following actions:

- Reinstatement of the provisional status and reevaluation of the student at a prescribed date;
- Extension of the provisional status and reevaluation of the student at a prescribed date; or
- Dismissal of the student.

No leaves of absence will be granted while the student is on a provisional admittance status.

F. ADMISSION POLICY FOR DISTANCE LEARNING MASTER'S (M.S.) IN PSYCHOLOGY PROGRAM

At the discretion of the faculty reviewers, applicants may be recommended for admission to the Distance Learning M.S. in Psychology program. Offer of admission to the M.S. in Psychology program does not guarantee admission to the Ph.D. program. Students admitted to the M.S. in Psychology program will move automatically to the Ph.D. program if during their enrollment in the DL program, they have:

- Successfully completed at least six (at least 6 unit) quarters or the equivalent.
- Successfully completed the following course sequences: Research (Methods, Stats I, Stats II); Psychopathology (I, II, & III); Clinical Foundations (Ethics, Cognitive-Behavioral Psychotherapy); and Psychological Science (21 units)
- Passed the Multiple Choice Research Comprehensive Exam.
- No failing grades and
- No more than one B- and
- No more than one incomplete

The Distance Learning Committee (DLC) regularly reviews students' progress in the Distance Learning M.S. in Psychology program. The DLC meets approximately two weeks after grades are turned in each quarter to review the progress of M.S. students, with the particular goal of identifying and providing guidance to any students who may be encountering problems.

Students who are not offered admission to the Ph.D. program may earn the M.S. in Psychology and leave PAU if they:

- Successfully complete the require classes in the manner specified above;
- Successfully complete a minimum of 45 units, with a grade point average of 3.0.; and
- Are approved by the faculty, the VPAA, and the President.

G. STUDENT ADVISEMENT

Full-time faculty and selected part-time faculty provide academic advisement to matriculated graduate students at all levels. Advisors are assigned students each year with an attempt to link advisors with advisees having mutual interests in psychology. The student will be notified of his/her faculty advisor and will be encouraged to make an appointment.

Faculty advisors are required to be familiar with the policies and procedures set forth in the *Student Handbook*, *PAU Clinic and Practicum Handbook*, and the *Internship Handbook*.

The role of the faculty advisor is to help the student plan his/her academic career and fulfill all the requirements necessary for graduation. The faculty advisor will have a copy of the student's transfer record and will receive copies of student grades.

As part of their advising responsibility, full-time faculty must post and maintain a minimum of four (4) office hours per week spread across at least two days and, in addition, be willing to schedule appointments with students who cannot meet during posted hours. Advisors are expected to:

- be courteous and welcoming to their advisees
- be available for consultation
- be prompt in returning advisees' phone calls
- be competent in offering academic advice
- initiate contact with students who are evidencing academic difficulty
- receive in-service training as needed or required
- accept primary responsibility for the academic program of their advisees.

Faculty advisors shall be evaluated annually (usually during Spring Quarter) by their students in a format similar to course evaluations. Questions for evaluation will relate to availability, interest, and competence and the forms will be returned to the VPAA.

Good advising is essential to adequate faculty performance, and may have consequences for decisions related to retention, promotion, and tenure and for VPAA monitoring of faculty performance. Strong administrative support in advising is an important institutional priority.

H. INSTRUCTIONAL INFORMATION

Course Syllabus, Instructional Materials, and Attendance Procedures

An outline of topics covered in the course must be submitted at least two (2) weeks prior to the beginning of class for courses which faculty have already taught and two (2) months prior for new courses. This syllabus will be given to the Curriculum Committee for review and approval. The Curriculum Committee will be looking for congruence between the course description and course content as expressed in the syllabus as well as learning outcomes as required by the respective program. The final decision regarding the scheduling of courses rests with the VPAA.

Books, readers and tests for courses are ordered at least eight (8) weeks before class begins. Copyright Laws must be observed.

Student attendance records are the responsibility of the instructor, and attendance of seventy five percent (75%) of class meetings is required for a student to receive credit for the course. If a class is scheduled to meet on a holiday, or if a class meeting is canceled, the class is to be rescheduled at a mutually convenient time. The Registrar is to be notified of the rescheduled class time.

I. PEARSON LEARNING MANAGEMENT SYSTEM (LMS)

PAU uses a learning management system (LMS) called Pearson eCollege Learning Studio, commonly referred to at PAU as "Pearson". Instructors will use this system for posting readings and PowerPoint presentations online for students to see and can also use it for presenting videos, images, and other materials, and can also use it for administering quizzes and organizing and posting grades as well as for collecting learning outcomes data and keeping track of student engagement by seeing when and for how long each student is viewing or using resources posted on the system.

Instructors will need to learn a bit about how to use the system, and an online course is available to do that, or, if not enough lead time is available before your class starts, a TA or program assistant can post material on the system until you are able to take the online course to learn how to use the system yourself.

You will also need to notify the PAU LMS administrator that you need a course added to the the LMS.

Please contact Glenn Saito, who is the Pearson LMS administrator, at gsaito@paloalto.edu to add a course or to sign up for online training in how to use the Pearson LMS.

J. TEACHING ASSISTANT POLICY

Faculty teaching assessment or statistical courses and all other courses with twenty (20) students or more may request a Teaching Assistant by submitting a completed Teaching Assistant Request Form to the Human Resources Office. Maximum T/A salary for the research sequence and assessment courses \$1,000 and all other courses \$750 for 3 unit classes. In the case of classes for less than 3 units, the pay will be prorated.

K. COURSE GRADE REPORT

A Course Grade Report must be completed by the instructor for each class(es) taught within one (1) week after the end of the quarter. Grades are assigned according to the following criteria:

- A+ awarded for extraordinary excellence
- A awarded for excellent performance
- A- awarded for very good performance
- B+ awarded for good performance
- B awarded for average performance
- B- awarded for below average performance
- F awarded for unacceptable performance

L. GRADE POINT TRANSLATION

The value of the letter grades in calculating a student's GPA is as follows:

A+	4.0
A	4.0
A-	3.67
B+	3.33
B	3.0
B-	2.67
F	0

Incomplete

An "Incomplete" is given in a course when the student is unable to completely fulfill the requirements during the quarter. A grade of "Incomplete" is given only when the student and the instructor have agreed upon the work that is to be made up, and a date by which the work will be completed. An "Incomplete" is not assigned if students simply stop attending or fail to complete the required work for the course. Though an occasional "Incomplete" may be taken, it is strongly discouraged as a general practice.

For an "Incomplete", rather than an "F", to be given, a student must have been in attendance for at least seventy five percent (75%) of the class meetings and have satisfactorily completed seventy

five percent (75%) of the work for the class, as defined by the instructor. The instructor must anticipate that the remaining work will be completed with all possible speed and will be graduate level in quality. If the “Incomplete” occurs in one (1) of the course sequences in the curriculum, the student may not proceed in the sequence without written permission from the instructors of both the non-completed and the succeeding courses.

Grade of “F”:

An “F” is automatically given for a course if a student does not attend at least seventy five percent (75%) of the class meetings and/or fails to do at least seventy five percent (75%) of the required work. An “F” is also given when, in the judgment of the instructor, the quality of a student's work is not at the passing level for graduate students, or when an “Incomplete” has not been cleared by the deadline. Students receiving an “F” in a course must retake that course the next time it is offered. While the retaking of a course does not eliminate the original “F” from the student's academic record, the new grade is calculated in the grade point average in place of the old grade.

M. STUDENT EVALUATION COMMITTEES

Composition Of The Committee

Each program has its own Student Evaluation Committee. The Student Evaluation Committee consists of core faculty of the respective programs. The Vice President of Student Services may serve as a non-voting, ex-officio member. The Committee advises the Faculty Council, the VPAA, the Dean of Academic Administration and Operations, and the President, and it makes recommendations to the Dean of Academic Administration and Operations on individual student issues. The Dean of Academic Administration and Operations reviews the case and then forwards the SEC's recommendation along with his/her comments and recommendations to the VPAA and ultimately, the President. The Student Evaluation Committee is responsible for monitoring the academic and professional progress of students through PAU's academic programs. PAU emphasizes academic achievement, competence and personal growth rather than competition among students.

Committee Responsibilities In General

New students admitted on provisional status and students previously issued warning letters from the Committee are reviewed at the end of each quarter or when grades are available.

A review of all students' academic and professional progress is made at the end of each quarter. This review may result in recommendations that students in difficulty be issued a warning letter, probationary status, or a request to appear before the Student Evaluation Committee for possible dismissal from the program.

Student Evaluation Of Faculty Members

Students are asked to fill out a Faculty Evaluation Form mid-quarter for new full- and part-time faculty, as well as full- and part-time faculty teaching a course for the first and second times, or when a course rating falls below 3.5 and at the end of the quarter for all other instructors. The

instructor and the course content are both evaluated. These provide important feedback to each instructor as to how students rate his/her classroom performance and may have consequences for decisions related to retention, promotion, and tenure and for the Dean of Academic Administration and Operations monitoring of faculty performance.

PART III. FACULTY PERSONNEL POLICIES

A. ACADEMIC FREEDOM

Faculty members are entitled to full freedom in the pursuit of their academic functions, which include: the advancement of human knowledge, insight and understanding; the education of the students and the presentation to them of various divergent views and opinions which are intellectually within the content of the course being offered; and the responsibility to serve the community by lending intellectual abilities to the solution of current problems. The academic freedom of faculty members shall not be abridged. Faculty are required to meet program identified learning outcomes for their students.

It is the policy of University that employment decisions concerning the appointment and promotion of faculty, the selection of faculty members for teaching and other academic duties and responsibilities, and University support and sponsorship of scholarly research by faculty members, shall not be based upon the faculty member's political, social, or other views not directly related to academic values or to the discharge of academic responsibilities.

B. FACULTY TENURE

An appointment with tenure is a secure appointment to the faculty without limit of time. This appointment is made only in writing and it continues until the date of resignation or retirement by the faculty member, or termination by the University. Termination by the University shall take place only in accordance with the written policies of the University as set forth in the Faculty Handbook. An appointment with tenure may be communicated only by written notification of the President and may not be acquired by any other means, such as length of service with the University.

C. FACULTY GRIEVANCE PROCEDURE

A written grievance by a faculty member is filed with the Dean of Academic Administration and Operations by which the faculty member asserts that the University has violated University policy, procedures, or rules and that the violation has caused him/her substantial consequences. A grievance may challenge an act or failure to act by an administrative officer that directly and adversely affects the faculty member in his or her professional or academic capacity. A grievance shall be filed within 45 days.

Referral to Grievance Officer

The Dean of Academic Administration and Operations shall refer the grievance to the FSRC, and

the Dean of Academic Administration and Operations shall designate one of its impartial members to serve as a grievance officer. The grievance officer shall which meet with the grieving faculty member and others with knowledge of the matter. Within 45 days of grievance, he/she shall transmit a written report and recommendation to the Dean of Academic Administration and Operations.

Dean of Academic Administration and Operations Determination

The Dean of Academic Administration and Operations shall discuss the report and recommendation with the grieving faculty member and with the D/DCT or other relevant senior administrator, and then shall issue a decision on the grievance. If the decision of the Dean of Academic Administration and Operations departs in substantial manner from the written report and recommendation of the grievance officer to the Dean of Academic Administration and Operations, the Dean of Academic Administration and Operations shall explain in writing the reasons for such departure.

The decision of the Dean of Academic Administration and Operations shall be final, unless the grieving faculty appeals in writing within 20 days to the VPAA. The VPAA may amend or revise the decision. The grieving faculty member may appeal the decision of the VPAA in writing within 20 days of the VPAA's decision, in which case the appeal will be sent to the President. The decision of the President will be final.

D. ARBITRATION

Statement Of Basic Policy

The following procedures are provided to serve as the exclusive and final means of resolving all claims by a faculty member against PAU and its officers, agents and representatives. This process is also set forth in the appointment agreement between PAU and each faculty member. It is the exclusive method of adjudication and final resolution of all legal claims by (and/or disputes between) the faculty member and/or the University (including its officers, agents, and representatives), whether arising from employment decisions, or from statutes, public policies, torts, contracts and all other matters.

Final And Binding Arbitration Procedures

The binding arbitration shall be held under the Employment Rules of the American Arbitration Association. The matter shall not be determined by court or jury. The costs of the arbitrator's fees and any administrative fee imposed by the American Arbitration Association shall be paid by the University. The arbitration process is final and binding on both PAU and the faculty member. The arbitrator's award shall be final, binding and conclusive upon the parties and may be entered in any state or federal court having jurisdiction. The arbitrator shall be mutually selected by the faculty member and the University. The arbitrator shall be neutral. There shall be availability of all remedies and discovery, as if in court. The arbitration award shall be in writing. The arbitrator's award may be reviewed by a court to the extent permitted by law.

E. POLICY ON DISCIPLINE

Policy

In order to protect the values of academic freedom, the integrity of teaching of students and of faculty research, and sound administration of the institution, PAU requires the adherence of all faculty members to the high standards of professional conduct. In the event that a significant deviation from these standards is believed to have occurred, a faculty member may be required to submit to disciplinary charges, which shall be determined according to the standards set forth in this Policy.

Professional Misconduct – General

Professional misconduct is that which occurs in the course of, arising from, or reasonably related to the faculty member's University position, duties or responsibilities with the University or demonstrably affecting in a significantly adverse way, the effective performance of University functions.

Professional Misconduct – Specific

Professional misconduct includes the following:

- (a) dishonest, illegal or unethical behavior in the faculty member's teaching, research or service duties;
- (b) preventing or obstructing School teaching, research or service functions, or any other lawful function of the School;
- (c) acts of sexual or other unlawful harassment;
- (d) neglect of School-related duties or responsibilities;
- (e) other professional misconduct of a serious nature, including but not limited to, intentionally inflicting physical harm or other serious harm on a member of the School community, knowingly violating a School policy regulating behavior of faculty members; and
- (f) attempting to, abetting or inciting another to, engage in conduct which would violate (a), (b), (c) or (e) of this Policy if engaged in by the faculty member.

Disciplinary Procedures–General

Discipline for professional misconduct involves either severe sanction(s) or less than severe sanctions. Proposed discipline with severe sanctions may not be imposed until and unless the Faculty Disciplinary Procedures have first been completed. Discipline with other than severe

sanctions may be imposed by action of the Dean of Academic Administration and Operations; however, the faculty member may appeal such discipline by resort to faculty grievance procedures.

Severe Sanctions–Defined

Severe sanctions are: a temporary or permanent reduction in base salary; suspension from the University from all or part of duties without pay for a specified period; and/or termination of appointment for disciplinary reasons

Faculty Disciplinary Procedures–Specific

(a) Severe Sanctions: In order to initiate procedures for discipline for professional misconduct involving severe sanction(s), the Dean of Academic Administration and Operations will prepare a written statement of charges, the proposed severe sanctions, and a brief of summary of relevant facts. The Dean of Academic Administration and Operations will deliver such written statement to the faculty member, together with notice of opportunity to meet and confer with the Dean of Academic Administration and Operations and/or his designated representatives, to attempt to resolve the matter by agreement. In the event that matter is not resolved to the mutual satisfaction of the Dean of Academic Administration and Operations and the faculty member within thirty (30) days of delivery of the written statement, the faculty disciplinary procedures may be invoked by the notice of the Dean of Academic Administration and Operations to the Faculty Standards Committee Chair if the faculty member is a member of the doctoral program faculty and to the appropriate Program Director if the faculty member is a member of another graduate or undergraduate program. Hearings and final determination of the charges will be determined by use of the procedures set forth in the Faculty Grievance Policy, supplemented and altered as follows:

A grievance hearing shall be held by a panel consisting of three members appointed by the President from among the FRSC members or faculty appointed by the appropriate Program Director. The panel shall rule upon any suggestion by a party that a member or members of the proposed panel should be excluded for cause. Each party to the grievance shall then have the opportunity to exclude one member without stated cause. Replacements for excused members shall be chosen by VPAA or the President from the remaining members of the FSRC or appointed faculty. The hearing panel shall choose its own Chair.

The principal responsibilities of the hearing panel are to develop a record, to make findings based on the record, and to forward its recommendation to the President. Unless an extension is granted by the Chair upon a showing of good cause, the hearing panel shall begin the hearing within 60 days of the referral of a matter.

The hearing panel shall not be bound by formal rules of evidence. The Dean of Academic Administration and Operations bringing shall have the burden of proving the charge of misconduct. Both the faculty member and the Dean of Academic Administration and Operations shall be permitted to present evidence, to examine all evidence presented, to confront and question all witnesses, and to present arguments orally and in writing. The faculty member may act on his or her own behalf, or may utilize the assistance of another faculty member. The Dean of Academic Administration and Operations shall designate the University employee or employees who will

participate on behalf of the University. Proceedings shall be audio recorded. Absent the agreement of the parties, the hearing shall be open only to those directly involved in the proceedings.

The VPAA and ultimately, the President shall review the panel's report and notify the faculty member, the Dean of Academic Administration and Operations and the panel as whether the charges are sustained and if so, the discipline imposed.

(b) Non- Severe Sanctions: In the case of proposed sanctions which are not severe, the Dean of Academic Administration and Operations will prepare a written statement of charges, the proposed sanctions, and a brief of summary of relevant facts. If the event that matter is not resolved to mutual satisfaction of the Dean of Academic Administration and Operations and the faculty member within thirty (30) days of delivery of the written statement, the Dean of Academic Administration and Operations may impose discipline which carries other than severe sanction. The Dean of Academic Administration and Operations will thereafter notify the faculty member in writing of the imposition of discipline. The Dean of Academic Administration and Operations may likewise impose sanctions that are not severe, while proceedings for severe sanctions under (a) above are pending. The faculty member may file a grievance with respect to such discipline pursuant to grievance procedures of the Faculty Handbook, in which case the VPAA shall serve in the role of the Dean of Academic Administration and Operations.

F. POLICY FOR PROHIBITION OF SEXUAL AND OTHER UNLAWFUL HARASSMENT, DISCRIMINATION AND RETALIATION

Policy Against Unlawful Discrimination

PAU is an equal opportunity institution of higher education and employer and is firmly committed to non-discrimination in its delivery of educational services and employment practices. In compliance with all applicable federal and state laws, such decisions will be made irrespective of the individual's race, color, religion, religious creed, ancestry, national origin, age (except for minors), sex, marital status, citizenship status, military service status, sexual orientation, gender identity or expression, medical condition (cancer-related or genetic condition), disability and/or any another status protected by law. PAU will reasonably accommodate individuals with disabilities if the individual is otherwise qualified to meet the fundamental requirements and aspects of the program and safely perform all essential functions, without undue hardship to the College and/or without altering fundamental aspects of its educational program. The Complaint procedure below provides complaint procedures to assist the University in its efforts to implement this policy.

Policy Against Unlawful Harassment

PAU is committed to maintaining the community as a place of work and study for faculty, administrators, staff and students, free of sexual and other unlawful harassment. PAU does not tolerate behavior by or against its faculty members that violates this policy.

Prohibited harassment in any form, including verbal and physical conduct, visual displays, threats, or demands. The Complaint procedure below provides complaint procedures to assist the University in its efforts to implement this policy.

PAU will take prompt and effective corrective action in response to occurrences of harassing behavior, including, where appropriate, disciplinary action up to and including dismissal or expulsion. The policy explicitly applies to University administrators, staff, students and faculty and all other individuals engaged with University activities. Faculty members who know of harassment, or believe that they have been harassed, in violation of this policy have access to the complaint procedures described below in this policy and are encouraged to utilize these complaint procedures.

Harassing behavior, when engaged in on any basis prohibited by this policy, may take a variety of forms. Examples of the kinds of behavior that may constitute such harassment include, but are not limited to:

- Verbal conduct such as epithets, derogatory comments, slurs, or unwelcome sexual advances, invitations, or comments;
- Visual conduct such as derogatory posters, photography, cartoons, drawings, or gestures;
- Physical conduct such as unwanted touching, blocking normal movement, or interfering with work;
- Threats and demands, such as those which seek submission to sexual requests, in order to retain employment or educational benefit, and/or offers of job or educational benefits or conditions in return for favors;
- Retaliation, in the form of adverse employment or educational actions, for good faith opposing, reporting or threatening to report harassment or for participating in good faith in investigation, proceedings or hearings related to this policy.

Sexual Harassment Warrants Special Attention.

Conduct is in violation of this policy occurs when an individual's behavior involves (1) unwelcome sexual advances; (2) unwelcome requests for sexual favors; or (3) other unwelcome verbal, physical, or visual behavior of a sexual nature. Also, such conduct can become a violation of this policy and of law when:

- Submission to such behavior is made explicitly or implicitly a term or condition of an individual's education or employment; or
- Submission to, or rejection of, such behavior by an individual is used as the basis for educational or employment decisions; or
- Such behavior otherwise has the purpose or effect of unreasonably interfering with, or otherwise creating an intimidating, hostile, or offensive educational or employment environment.

Policy Against Unlawful Retaliation

A University community member, including a faculty member, who in good-faith files or pursues a complaint under this Policy or otherwise reports, complains, assists or cooperates in good faith with a complaint will not be the basis for any adverse University decisions. Such retaliation is forbidden by this policy. Policy 5.6.4 provides complaint procedures to assist the University in its efforts to implement this policy.

Complaint Procedure

PAU encourages faculty members who believe they may be victims of a violation of this University or are aware that another person has allegedly engaged in such a violation, to report such information using the complaint process described below. It is expected that review of these matters will begin expeditiously and that complaints will be resolved promptly and ordinarily no later than 30 days from initiation of review. Confidentiality will be maintained to the extent appropriate in consideration of the circumstances. Complaints by a faculty member may be made orally or in writing in the following ways:

The faculty member (“complainant”) may present the complaint to the director of clinical training, the Dean of Academic Administration and Operations, the VPAA, or the President and shall do so in writing if possible.

The administrator or officer receiving the complaint must promptly inform the President, the VPAA, and the Dean of Academic Administration and Operations. The complainant should meet with the individual charged by the University with investigating the complaint, and should submit all pertinent details of the complaint in a written form and discuss the matter as well. Complaints should be presented in all cases as soon as the complainant becomes aware of the offending conduct. The President, the VPAA, or the Dean of Academic Administration and Operations will notify the complainant and the respondent of the appropriate administrator or officer of University who will be responsible for a final determination of the complaint (“decision-maker”). The selection of the decision maker will be made with consideration of the reporting and and/or academic relationships. It is not possible to prescribe in advance the identity of the decision maker in all situations, given the unique organization of academic institutions.

The decision-maker is responsible to take any prompt and effective corrective action that is appropriate in response to the complaint. This may warrant an initial investigation of the complaint. If an investigation is conducted, the University may utilize University personnel and/or may retain an independent investigator to do so. In either case, the investigation will proceed expeditiously and appropriately to investigate the matter, including interviews of individuals, if necessary, and a written summary of the facts relevant to the complaint will be prepared for review by the decision-maker.

The decision-maker will make a determination of the complaint in a manner consistent with the particular facts and circumstances of the complaint. Factors include whether the evidence shows a violation of the policy against unlawful harassment, the egregiousness of the conduct and injury involved, any mitigating circumstances, relevant history of the complainant and respondent, etc.

The decision-maker will prepare a written determination. After the determination regarding the complaint has been made, it will be communicated to the President, and to complainant to the extent and in a form that is appropriate. The conclusions will also be communicated to the VPAA and the Dean of Academic Administration and Operations.

In addition to these procedures, complaints may be filed with the California Department of Fair Employment and Housing (DFEH) at 455 Golden Gate Avenue, #7600, San Francisco, CA 94102-6073 and the Equal Employment Opportunity Commission (EEOC) at the San Francisco District Office, 901 Market Street, #500 San Francisco, CA 94103 and the Office of Civil Rights of the US Department of Education at Federal Building, 50 United Nations Plaza, Room 239, San Francisco, CA 94102. A copy of DFEH poster is contained in this Handbook in Appendix D.

Sanctions

If the decision-maker finds that the complaint in whole or in part shows a violation, the decision-maker shall determine what corrective action is appropriate and including, where appropriate, disciplinary action of the respondent or others. Violations of this policy may result in disciplinary action such as warning, suspension, or termination from employment or of any other affiliation with the University, etc.

The decision-maker may determine that the complaint does not show a violation of the policy. If so, with the approval of the President, the decision-maker shall so inform the complainant.

In the event that the complaining faculty member is dissatisfied with the results of his/her complaint, he/she shall have resort to the grievance-arbitration procedures.

G. INFORMATION FOR FACULTY MEMBERS WITH A DISABILITY

PAU complies with Section 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act and the California Fair Employment and Housing Act. Accordingly, no otherwise qualified disabled faculty member shall, solely by reason of his or her disability, be subjected to discrimination in any aspect of employment by PAU.

Faculty members who request accommodation should contact the Dean of Academic Administration and Operations in writing. A qualified faculty member with a disability who requires an accommodation in order to perform the essential functions of his/her job, or an applicant who requires an accommodation to demonstrate his/her job skill, experience, and knowledge, should contact the Dean of Academic Administration and Operations in writing request such accommodation. PAU will then work with the faculty member or applicant to evaluate the merits of the request, identify the existing barriers(s), and will also identify the possible accommodation, if any, that would eliminate the barrier(s). If the accommodation is reasonable and will not impose an undue hardship, PAU will offer to make the accommodation. For purposes of reasonable accommodation, a faculty member or applicant with a disability is an individual who meets the skill, experience, education, or other requirements of the position

that he/she holds or seeks, and must be able to perform the essential functions of the job either with or without reasonable accommodation.

H. FACULTY LINES

Core Faculty Lines (Doctoral Program Faculty)

Fundamental Enduring Faculty Appointment Lines: the Tenure (TL) Faculty Line and the Teaching/Scholar (T/S) Faculty Line. Faculty with predominately research responsibilities are generally appointed to the tenure faculty line while faculty with predominately teaching and service responsibilities are generally appointed to the T/S faculty line. Faculty in both lines are expected to carry responsibilities in all three areas of effort – teaching, service, and scholarship. Faculty in both lines are evaluated on identical quality criteria weighted by the proportions of their assigned responsibilities. A third line, Clinical Faculty (CF) line, is for faculty whose main contribution is in clinical supervision and/or administration of clinically related matters.

Assistant professors will be hired into a specific faculty line (tenure, teacher-scholar, clinical) with commensurate teaching and research responsibilities. During the first three (3) years of employment and up through their third year review, an assistant professor may petition the Faculty Standards and Review Committee and the Dean of Academic Administration and Operations to change their appointment to the other faculty line, or may be presented with that option. Change in faculty line is not an option for year five (5) or six (6), and cannot be offered when faculty are being considered for promotion.

Tenure Line Faculty

Tenure line faculty members are given an initial appointment of three (3) years and are considered **non-secured** faculty until they are awarded tenure status. Following the award of tenure, TL faculty are considered **secured** faculty and undergo post tenure review each six (6) years of service.

Teaching/Scholar Line Faculty

Teaching/Scholar line faculty members are given an initial appointment of three (3) years and are considered **non-secured** faculty until they are awarded full term status. Following the award of full term status, T/S faculty are considered **secured** faculty, that undergo review each six (6) years of service, and, if approved are subsequently awarded another term appointment for six (6) years.

Limited Scope Faculty

Faculty members in limited scope faculty lines such as clinical faculty are not eligible for either tenure or secured appointments.

Research Faculty

Research faculty may supervise dissertation students and chair dissertation committees. Generally, research faculty are not paid with institution funds, but are supported on their own research grants.

Part-Time Faculty

Part-time faculty members are appointed to teach courses on a course by course basis and may be paid or volunteer faculty. Appointments may be made only by a written appointment contract issued by the Dean.

Adjunct Faculty

Adjunct faculty appointments are made for individuals who hold a doctoral degree, have demonstrated excellence in scholarship, teaching, clinical practice, and/or service to the profession and the community, and who serve PAU in a limited capacity role. Most commonly, adjunct faculty appointments are made for community professionals who serve as members of dissertation committees or as clinical supervisors at external practicum sites. Appointments may be made only by a written appointment contract issued by the Dean of Academic Administration and Operations.

“VA Faculty”

VA faculty appointments are made for individuals who hold positions at affiliated Department of Veterans Affairs medical center programs, possess a doctorate, and have demonstrated excellence in scholarship, teaching, clinical practice, and/or service to the profession and the community, and who serve PAU in a limited capacity. Typically, “VA Faculty” teach graduate courses, supervise PAU students in clinical practice, run research groups, and direct dissertations. Appointment may be made only by a written appointment contract issued by the Dean of Academic Administration and Operations.

Visiting Faculty

The visiting faculty line is for temporary faculty only. Visiting faculty members are generally expected to serve PAU for no more than one (1) year. Very occasionally a Visiting Faculty appointment may be renewed up to a maximum of two (2) years. Appointment may be made only by a written appointment contract issued by the Dean of Academic Administration and Operations.

Courtesy Faculty

A courtesy appointment is defined as one in which the individual often makes a substantial contribution to departments other than their own, but in ways less formal than would justify an appointment to a core faculty line. There is usually no commitment of salary, space, research or other support involved in a courtesy appointment. Formally (that is, in all appointment documents), the title should read, for example, “Professor, by courtesy.” In everyday usage, the “by courtesy” designation may be dropped. Courtesy appointments are made by the Dean of Academic Administration and Operations.

Post Doctoral Fellows

Post Doctoral Fellows may be, but are not required to be, appointed to the rank of Lecturer, and thus hold a temporary faculty position. Appointment may be made only by a written appointment contract issued by the Dean of Academic Administration and Operations.

Consortium Faculty

Consortium faculty members – not to be confused with members of the PGSP-Stanford Psy.D. Consortium faculty – are current (or past) faculty in the Department of Psychology at Stanford University who have agreed to provide limited role service to PAU. Such service may involve invited addresses, serving as members of dissertation committees, or service on other committees.

Appointment To Graduate Faculty

Appointment to the PAU Graduate Faculty is independent of other faculty line appointments (e.g., tenure line or teacher-scholar line). To be eligible for Graduate Faculty appointment, the faculty member must have a budgeted position in a PAU graduate program. Appointment to the PAU Graduate Faculty is separate and distinct from being hired as a PAU faculty member. It can be initiated by the individual faculty member or a program director by bringing the individual's qualifications to the Dean of Academic Administration and Operations for consideration. The appointment will be made by the Dean of Academic Administration and Operations. There are two (3) Graduate Faculty Lines:

Graduate Faculty

Faculty appointed to this line must have a doctoral degree in psychology or a closely related field (e.g., medicine). If the faculty has a doctoral degree in psychology, in the following areas: clinical psychology, counseling psychology, school psychology, or combined profession-scientific psychology, their school or program must be APA accredited. This policy goes into affect Academic year 2011-2012. Exceptions can be made by vote of the faculty based on their qualifications, past accomplishments, and contributions to PAU. Faculty in this line can engage in the following graduate level activities:

- Teach graduate level classes
- Serve as readers on dissertation committees
- Serve as co-chairs on dissertation committees
- Offer research groups with specific agreement by the Dean of Academic Administration and Operations

Graduate Research Faculty

In addition to the tasks performed by Graduate Faculty, Graduate Research Faculty engage in the following activities:

- Offer research groups on a regular basis
- Chair dissertation committees (Subject to the approval of the DCT and Dean of Academic Administration and Operations, in certain instances, members of the Graduate Faculty may be permitted to chair Psy.D. Dissertations.)

Appointment to the Graduate Research Faculty requires a minimum of two senior authored, empirical, peer reviewed journal articles. These can be either in press or published. The faculty should continue to demonstrate evidence of active research.

Graduate Clinical Faculty

Appointment to the Graduate Clinical Faculty requires an active Clinical Psychologist license (preferably a California license) or CPQ in addition to the tasks performed by Graduate Faculty, Graduate Clinical Faculty engage in the following activities:

- Provide clinical supervision in the Gronowski clinic or other PAU sanctioned clinical settings
- Conduct Clinical Oral Examinations.
- Participate in the development of the clinical training program.

I. FACULTY RANKS

The following guidelines are meant to provide criteria for decision-making regarding academic rank while also allowing for flexibility in appointment and promotion decisions and differentially weighing criteria in making these decisions. It is recognized that some faculty may qualify for early promotion in rank due to extraordinary performance and that other faculty may be highly valued but appropriate for relatively delayed promotion in rank due to many factors. It is also acknowledged that individual faculty are not identical as to the level of contributions in the areas of teaching, service, and scholarship. While weighing all of these criteria in the decision of faculty rank assignments, the decisions are ultimately based on an appraisal of the faculty member's overall contribution in the light of what the institution is requesting or has requested of her/him and on the specific programmatic need for that position. Promotion decisions are based upon evaluation of teaching, service, and research/scholarship since the last promotion or appointment decision, not on the body of work prior to the last promotion or appointment decision.

Ranks For Core Faculty:

Lecturer

This rank is appropriate for faculty members who possess the doctoral degree with little academic experience and evidence of high order teaching performance or scholarship/professional service.

Assistant Professor

This rank is appropriate for faculty members who possess the doctoral degree and evidence of a high order of teaching performance, professional growth and achievement. Persons with lesser academic degrees of training may be promoted to this rank after demonstration of competence in teaching, research, and/or professional service.

Associate Professor

The criteria for this rank, in addition to the prerequisites for Assistant Professor, are a minimum of six (6) years of full-time teaching experience at the College or University level or its equivalent; teaching excellence; scholarly excellence; excellent service to the profession and the community; and an excellent regional reputation as a leader in the profession.

Professor

The criteria for the rank, in addition to the prerequisites for Associate Professor, are a minimum of twelve (12) years of full-time teaching experience at the College or University level, or its equivalent; teaching excellence; publication and scholarship of great merit; outstanding service to the professional and the community; and an outstanding national and international reputation as a leader in the profession.

Ranks For “Limited Scope” Faculty Lines:

“Limited Scope” faculty ranks are determined by teaching and service at PAU, as well as by overall professional competence.

When requested by the Dean or by the VPAA, the Faculty Standards and Review Committee recommend new part-time faculty appointments to faculty ranks, based upon the present PAU ranked faculty categories.

Instructor

This is the initial appointment made for individuals who have recently completed their doctorate and who present evidence of having previous successful teaching experience and the potential for effective teaching at the University.

Assistant Professor

This rank is appropriate for faculty members who possess the doctoral degree and evidence of a high order of teaching performance, professional growth and achievement. Persons with lesser academic degrees of training may be promoted to this rank after demonstration of competence in teaching, research, and/or professional service.

Associate Professor

To be promoted to this rank faculty must meet the prerequisites for Assistant Professor and have demonstrated teaching excellence, scholarly excellence; and excellent service to the profession and the community. Faculty will be considered for promotion to this rank after the completion of six (6) years of professional practice or research or its equivalent.

Professor

To be promoted to this rank faculty must meet the prerequisites for Associate Professor and have continued demonstration of teaching excellence, scholarly excellence, and outstanding service and leadership in the profession and the community. Faculty will be considered for promotion to this rank after the completion of twelve (12) years of professional practice or research or its equivalent.

J. TERMINATION/DISMISSAL, NON-RETENTION/ NON-REAPPOINTMENT, AND LIMITS TO RETENTION

Core faculty members in PAU doctoral programs receive annual contracts specifying areas of faculty responsibility and proportionate distribution of responsibilities across the categories of

teaching, service, and research/scholarship. Evaluations and recommendations regarding retention/reappointment of Core faculty are made annually by the Faculty Standards and Review Committee. The annual faculty report and supporting materials gathered by the Faculty Standards and Review Committee form the basis for recommendations for retention/reappointment or non-retention/non-reappointment.

Non-Secured Core-Faculty

Should the FSRC recommend non-retention/non-reappointment of a non-secured Core faculty member, their evaluations and recommendations are summarized by the FSRC Chair and submitted to the Dean of Academic Administration and Operations who communicates the findings to the candidate. The candidate may submit to the Dean of Academic Administration and Operations comments and rebuttals regarding the evaluations and recommendations. The Dean of Academic Administration and Operations then will make his/her own recommendation to the VPAA. Only the President is empowered by the Board of Trustees to take final action regarding non-retention/non-reappointment of non-secured Core faculty.

Secured Faculty

Faculty members with secured appointments also receive annual contracts specifying areas of faculty responsibility and proportionate distribution of responsibilities across the categories of teaching, service, and scholarship. Evaluations and recommendations regarding the quality of work performed by secured faculty are made annually by the Faculty Standards and Review Committee. Not less frequently than every six (6) years, each secured faculty is evaluated for continuing contributions to PAU by a subcommittee of the FSRC made up of the total group of secured faculty. The annual faculty report and supporting materials gathered by the Faculty Standards and Review Committee form the basis for recommendations for retention/reappointment or non-retention/non-reappointment.

FSRC evaluations and recommendations are summarized by the FSRC Chair and communicated in writing to the Dean of Academic Administration and Operations. The candidate may submit to the Dean of Academic Administration and Operations comments and rebuttals regarding the evaluations and recommendations. The Dean of Academic Administration and Operations will make his/her own recommendation to the VPAA. Only the President is empowered by the Board of Trustees to take final action regarding non-retention/non-reappointment of secured Core faculty.

Termination/Dismissal of Tenure Line Faculty

On October 21, 1996, the Faculty Council voted (13-0-1) to adopt the American Association of University Professors (AAUP) procedures regarding dismissal of faculty. These procedures are outlined in the “Statement on Procedural Standards in Faculty Dismissal Proceedings”.

Non-Renewal of Teaching/Scholar Line Faculty

PAU may choose not to renew a multiyear appointment of faculty in the T/S line. When this happens, the faculty with a three-year appointment will receive at least 6 months notice before termination, and faculty with a six-year appointment will receive at least 12 months notice before

termination. The school is not required to "show cause" as to why the appointment is not being renewed.

Limits To Retention Of Limited Scope Faculty Status

At the Faculty Council meeting of January 13, 1997, the Faculty Council voted unanimously to establish limits for how long inactive temporary or limited scope faculty retain faculty status. Ranked faculty with 3 years of no classroom teaching are placed on inactive status; 2 additional years of no PAU activity result in removal from the faculty. Instructors with one year of no classroom teaching are placed on inactive status; one additional year of no PAU activity results in removal from the Instructor list.

Adjunct faculty status terminates when the contract is fulfilled.

Procedures For Retention Of Faculty

All core faculty submit annual faculty reports and supporting materials for the previous calendar year to the Dean of Academic Administration and Operations by January 15. The Dean has the responsibility for gathering annual reports and supporting materials. The annual report and supporting materials of each Tenure Line, Teaching/Scholar or Clinical Line faculty member are reviewed and rated by the senior faculty. Senior faculty members in the Tenure Line rate all the faculty members. For tenure line faculty they are rated on teaching, service, research, and other forms of scholarship or, for teacher-scholar faculty, just teaching and service, as is appropriate for the kind of appointment the faculty member being rated actually holds. Teacher-Scholar Line faculty members rate faculty of lower rank only in terms of teaching, service, and scholarship appropriate to the non-research emphasis in the Teaching/Scholar Line. The senior faculty members in the Tenure Line and the Teaching/Scholar Line then meet to discuss and evaluate each faculty member's performance.

Summarized results of Tenure Line or Teaching/Scholar Line faculty evaluations and recommendations are communicated in writing to Dean of Academic Administration and Operations. The Dean should also solicit the comments of the Program Director(s) in which the faculty member has worked. Comment/rebuttals to the evaluations and recommendation may be submitted by the candidate to the Dean. The Dean forwards a recommendation and all documentation to the VPAA for consideration. Only the President is empowered by the Board of Trustees to take final action regarding non-retention/non-reappointment.

Each person participating in the evaluation and recommendation process forms his/her own judgment of the work of the candidate. The President's final decision is based on his review of the record and his own judgment.

The President will cause written notification of his decision to be communicated to the candidate. If the decision is negative, the candidate may timely (within 30 days of notification), request the Dean of Academic Administration and Operations to provide a statement of the reasons for the decision of the President and the Dean of Academic Administration and Operations shall promptly provide the statement of reasons to the candidate.

K. FULL-TIME FACULTY PROMOTION IN RANK

Timing Of Review For Core Faculty

Normally, candidacy for tenure (for faculty in tenure line appointments) or secured appointments (for faculty in teacher-scholar appointments) for full-time faculty will be at the point of promotion from Assistant to Associate Professor (for Junior Faculty), and no later than the year prior to the end of the probationary employment period (*one [1] year is the probationary period for any contract except for faculty who arrive with tenure*) for Senior Faculty (*Associate and Full Professors*). This means such decisions will be completed no later than March 15 of the sixth teacher-scholar track year at the University for Assistant and Associate Professors and no later than the third such year for Full Professors. In all but the most extraordinary circumstances, tenure/secured appointment will not be awarded to any Senior Faculty member prior to the completion of one (1) academic year or three (3) quarters of instruction at PAU.

Procedures For Review Of Full-Time Core Faculty for Promotion In Rank

The initiation of promotion in rank is the responsibility of the candidate in consultation with the Faculty Chair, the Chair of the Faculty Standards and Review Committee, and appropriate program Director(s). The Faculty Standards and Review Committee of PAU has initial responsibility for accumulating data on the candidate's scholarship, teaching, advising, and service.

The evaluation for promotion of faculty candidates' scholarship should include review of the candidate's published, prepublication, and unpublished work, as well as the written reviews of external "academic referees" solicited by the Faculty Standards and Review Committee. The candidate faculty member should submit names of four (4) or five (5) respected individuals qualified to assess the candidate's work to serve as academic referees. The Faculty Standards and Review Committee should attempt to utilize at least three (3) referees in the candidate's promotion review. The FSRC will also solicit independent reviews of 3 or more outside referees who have the appropriate expertise on the candidate's qualifications.

After due consideration, the Faculty Standards and Review Committee shall forward the candidate's promotion portfolio to the higher ranking members of the Faculty Council, together with the FSRC's summary and analysis of the data to be considered in the promotion decision. All full-time voting faculty members of the Faculty Council who are higher ranked, will be asked to vote on the promotion decision with advance notice of such consideration being given. Full-time faculty promotions are voted on only by full-time faculty of equal or higher rank than the rank sought by the candidate. Thus, promotion to associate professor is voted on by only associate and full professors. Only full professors may vote on candidates for promotion to full professor. The votes will be taken by secret ballot and forwarded by the Faculty Chair to the Dean of Academic Administration and Operations for consideration. In addition, at any point during the review for promotion, the Dean may form a Peer Review Board consisting of persons from outside PAU who will be asked to evaluate the promotion case.

The Dean will review the results of the Faculty Standards and Review Committee summary and analyses, the Faculty Council vote, and, where appropriate, the Peer Review Board evaluation, and make an independent recommendation to the VPAA, who will make the final recommendation to the President for the President's consideration. Promotion in rank will be effective with the start of the next faculty contract. The President's decision will be transmitted to the candidate in written form. The President's decision is final.

Standards For Review Of Full-Time Core Faculty for Promotion In Rank

The following guidelines are meant to provide criteria for decision making regarding academic rank while also allowing for flexibility in appointment and promotion decisions and differentially weighing criteria in making these decisions. It is recognized that some faculty may qualify for early promotion in rank due to extraordinary performance and that other faculty may be highly valued but appropriate for relatively delayed promotion in rank due to many factors. As discussed further in what follows, teaching, scholarship, and service responsibilities are expected of faculty in both the Tenure Track and Teacher-Scholar Faculty Lines. It is also acknowledged that individual faculty achievements and activities are not identical as to the level of contributions in the areas of teaching, service, and scholarship.

While weighing promotion criteria regarding faculty rank assignments, decisions are ultimately based on an appraisal of the faculty member's overall contribution in the light of what the institution is requesting or has requested of her/him and on the specific programmatic need for that position. Thus, consideration of the kinds and quantities of contributions to teaching, scholarship, and service outlined below must take into account the expectations established for the candidate each year during discussions with appropriate program Directors and by contract with the Dean. Promotion decisions are based upon evaluation of teaching, service, research, and other forms of scholarship since the last promotion or appointment decision, not upon the body of work prior to the last promotion or appointment decision.

Teaching. In reviewing the candidate's teaching, the Faculty Standards and Review Committee should, where possible, obtain comments, feedback, and appraisals from students, teaching assistants, and faculty, including faculty who have directly observed the candidate's teaching, if possible, of the candidate's teaching and course materials.

General categories for consideration and examples of sources for teaching evaluation include:

- Classroom excellence
 - Current student evaluations*
 - Graduated student evaluations*
 - Peer evaluations*
- Clinical supervision
 - Current student evaluations*
 - Graduated student evaluations*
 - Peer evaluations*
- Research supervision (for graduate research faculty)
 - Current student evaluations*
 - Graduated student evaluations*
 - Peer evaluations*
- Presentations/publications with students as co-authors.
 - Copies of documents*
- Developed and introduced innovative pedagogical techniques
 - Commentary from peers and students*
- Received funding from outside agencies or foundations for curriculum development,

enhancing teaching laboratories, etc.

Documentation of award

- Introduced new courses into the curriculum, developed new academic programs, or made significant modifications to an existing academic program, at the undergraduate and/or graduate level.

Syllabi, program descriptions and commentary from peers and program chairs

- Published or made significant contributions to a textbook in his/her field.

Copy of book

Expectations for threshold performance per year during the previous interval. Note: Which of these categories apply depends on the annual assignments for each faculty member.

- Classroom excellence: at least five courses evaluated “good” as a minimum
- Clinical supervision: at least five supervision units evaluated “good” as a minimum
- Research supervision: at least three completed dissertations with “good” evaluations of the supervisory process (Graduate Research Faculty only) and service on 6 dissertation committees as member. Note: faculty receive a maximum of 4 quarters of teaching credit for any one student’s dissertation.
- Other teaching contributions: accomplishment of at least two of the other elements listed above in the general category of teaching.

Service. In addition to the relevant sections of the candidate faculty member’s Annual Faculty Evaluation, consideration of the candidate’s service contributions should include solicitation of statements from those with whom the candidate has worked in service capacities at PAU and those with whom the candidate has worked in outside or prior service activities.

General categories of service for consideration. Sources for evaluation will include, but are not limited to copies of product, tables of contents, letters of appointment, recognition, thanks, etc.

- University and program (e.g., faculty senate, curriculum committee)
- Service as faculty representative (adviser) to student clubs, societies or organizations
- Thesis/dissertation committee membership (non-chair)
- Professional society service (committees for meetings, small-group newsletter editor, etc.)
- Community service (board of directors for charitable groups, adviser for schools or charitable organizations, etc.)

Expectations for threshold performance per year during the previous interval. It is expected that faculty will have significant and meaningful service commitments in university, school, and professional areas.

Scholarship. Evaluation of the candidate’s scholarship should include evidence of scholarship. Scholarship is expected of faculty in both the Tenure Track and Teaching Scholar Faculty Lines. The Tenure Track and Teacher-Scholar Lines are distinguished, however, by a greater emphasis on research and peer-reviewed publications in evaluations of scholarship in the Tenure Track Line, in contrast to the emphasis on a broad range of candidates’ scholarly activities – which might include much less research or peer-reviewed publication activity – in evaluations of scholarship in the Teaching Scholar Line. Consistent with the Society for Teaching of Psychology’s Task Force on Defining

Scholarship in Psychology consensus definition, scholarship is thus understood to include “(a) original research (creation of knowledge); (b) integration of knowledge (synthesis and reorganization), (c) application of knowledge, (d) the scholarship of pedagogy, and (e) the scholarship of teaching in psychology. Scholarly activities require high levels of discipline-specific expertise, are innovative, can be replicated, are documented, can be subject to peer review, and have significance”¹.

Consequently, notwithstanding the commonalities in the general timing and progress of scholarly development from Assistant to Full Professor, evaluations for promotion on the Tenure and Teacher-Scholar Faculty Lines emphasize different aspects of academic scholarship.

Source materials for evaluation of scholarship during the previous interval. Source material for evaluation for all core faculty may include copies of scholarly products, tables of contents, letters of recognition, awards, and other materials including, but not limited to:

- Refereed publications
- Scholarly book in field
- Book chapters
- Development of assessment instruments
- Reviewed presentations at regional meetings
- Reviewed presentations at national/international meetings
- Teaching manuals, study guides, workbooks
- Computer software or Web-based publications
- Actions as editor or associate/assistant editor of journal in field
- Non-refereed publications
- Reviewer for journal articles
- Served as chairperson or as part of the organizing committee for national or international society meetings.
- Received grant and/or contract support for research from federal, state or private sources
- Received recognition for scholarly activities from regional, national, or international organizations

Expectations for threshold performance per year during prior interval. It is expected that assistant professors will gradually establish their scholarly programs. Therefore, promotion to associate professor will emphasize research in the Tenure Track Line and research and/or other scholarly accomplishments in the Teacher-Scholar Line that occur after an initial orientation phase (typically, two years). It is expected that associate professors will solidify their scholarly programs during their minimum five-years in rank. Promotion to professor will emphasize not only documentation of individual categories of evaluation, but also the systematic and programmatic character of these activities. Hence a characterization of the programmatic quality and overall contribution to the scholarly field is expected from external references.

¹ Halpern, D. F., Smothergill, D. W., Allen, M., Baker, S., Baum, C., Best, D., et al. (1998). Scholarship in psychology: A paradigm for the twenty-first century. *American Psychologist*, 53(12), 1292-1297.

Review Procedures

Faculty members may seek a review of personnel decisions via the grievance-arbitration procedures.

L. TERMINATION DUE TO FINANCIAL EXIGENCY

The Board of Trustees may declare a financial exigency at the University. The Board of Trustees may also determine to close or substantially curtail an academic program for financial reasons.

In such circumstances, the President of the University is responsible to make the final determination with regard to the termination or reassignment of faculty members who hold appointments with tenure, appointments on the tenure-track or other forms of appointment. The appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure, except to avoid fundamentally compromising the remaining academic program.

M. FACULTY APPOINTMENT, REAPPOINTMENT, AND JOB SECURITY

The Dean of Academic Administration and Operations recommends to the VPAA and President all faculty appointments, reappointments, promotions, and job security actions (tenure/full term status).

Faculty members are assigned annually by the Dean of Academic Administration and Operations to one or more degree programs/divisions for teaching and advising students. These appointments are made at the recommendation of the D/DCT.

It is the responsibility of the Dean of Academic Administration and Operations to create and remove faculty positions within existing faculty lines, i.e., Tenure Faculty Line, Teaching/Scholar Faculty Line, Research Faculty Line, Visiting Faculty Line, Part Time Faculty Line, and Adjunct Faculty Line.

It is the responsibility of the faculty to recommend new faculty candidates to the D/DCT, and the responsibility of the D/DCT to recommend new faculty candidates to the Dean for appointment to the faculty. The Dean strongly considers faculty and D/DCT recommendations in making the final decision as to who to recommend to the VPAA and the President for appointment.

N. FULL-TIME FACULTY RESPONSIBILITIES AND ACADEMIC PROCEDURES: PROFESSIONAL RESPONSIBILITIES OF THE FACULTY

Research productivity, effectiveness of teaching, willing acceptance of responsibilities other than teaching, worthy representation of PAU in public affairs, participation in the programs of professional societies, and successful maintenance of sound personal and ethical relations with one's colleagues and the PAU community--these are among the professional responsibilities of the faculty. To these should be added the following specifics:

Full-Time Service

A full-time faculty member is expected to perform teaching duties in accord with the established requirements of PAU (*i.e., eighteen [18] credit hours per year except for special circumstances agreed to by faculty member and administration for tenure line faculty; twenty-four [24] credit hours per year for Teacher-Scholar line faculty*); pursue professional development and enhancement of the public good and of the prestige of PAU through research, scholarly publications, interest in professional groups and societies; assist in a timely fashion with the selection and advisement of students; assist at student orientation and commencement exercises; maintain regular office hours (*a minimum of four [4] hours per week during the academic year on at least two different days of each week in which classes are in session*); serve on School committees; and perform other institutional tasks characteristic of the academic profession. Faculty are be responsible for committing sufficient time to meet all academic responsibilities, including meeting with students, faculty meetings and teaching courses, typically on a four days per week basis, in person or by phone. They are also responsible for completing tasks and annual reports about assignments and achievements in a timely way.”

Evaluation Of Instruction

The faculty member shall allow to be distributed and tabulated a student evaluation form for all courses. This will be done at the end of the course. The administration will tabulate the results and provide the results to the faculty member and the Faculty Standards and Review Committee.

Commencement Exercises

All full-time faculty are required to attend the annual Commencement exercises, in cap and gown. Permission to be absent from these exercises is to be received in advance from the President.

Course Scheduling

Courses are scheduled in consultation between the faculty member and the Dean. Faculty preferences for courses and times taught, while important, are not the sole criteria for arranging course schedules. Once course scheduled are published, faculty cannot change class meeting times without prior notification and approval of the Dean.

Rescheduling Classes

If special circumstances require a faculty member to reschedule a specific class meeting, the faculty member should notify the Dean and/or his designee. Every effort to contact the affected students should also be made by the faculty member.

Canceling Classes

Faculty members have an obligation to meet all their scheduled classes and to hold class throughout the whole of the scheduled time. However, it is recognized that exceptions may exist. When a faculty member is forced by illness or for good reasons other than illness to cancel class, the faculty member should notify the Dean or his/her designee before the class is scheduled to meet.

Course Cancellation

The cancellation of a course is the prerogative of the administration. However, certain procedures are expected to be followed to minimize the need to take such action. In deciding which courses to offer, the administration is expected to consult with the faculty member so that the courses offered have a high likelihood of meeting minimal enrollment criteria. When a course is being considered for cancellation the faculty member should be consulted. For multiple sections of the same course, full-time faculty sections will be given priority before part-time faculty sections, when feasible. When the course still needs to be canceled, the faculty member agrees to substitute another course or additional administrative work (*to be decided in consultation with the faculty member*) within the same academic year (*not including the summer session unless the faculty member so chooses*).

Faculty Availability And Attendance

All full-time faculty members must be available for service at PAU throughout the academic year. (*The academic year begins on the Wednesday of the week preceding that in which instruction begins in the fall quarter and ends one week after classes end in the spring quarter.*) All full-time faculty members must respond to students' phone and email contacts within 24 hours of student transmittal, during weeks when classes are in session and within 72 hours during the quarter when classes are not in session. All full-time faculty members must attend at least three student events in addition to commencement, and such events will be announced each year by notice from the Dean.

Office Hours

Each full-time faculty member is required and expected to keep regular office hours (*a minimum of four [4] hours per week*) on a schedule made available to the PAU community and be available to students and advisees without previous appointment for at least half of these hours. The hours should be distributed so as to be of maximum availability to students, and must be scheduled on at least two separate days per school week. The schedule should be posted and strictly observed.

Tutoring One's Own Students

A faculty member may not be recompensed beyond their regular salary for tutoring any students at PAU.

Grades And Syllabi

Faculty members are expected to submit an outline of topics covered in the course at least two (2) weeks prior to the beginning of class for courses which faculty have already taught and two (2) months prior for new courses. This syllabus will be given to the Curriculum Committee for review and approval. Faculty members are expected to submit grade reports within one (1) week of the end of the quarter.

Governance And Additional Meetings

Faculty members are expected to participate both in normal governance functions and in additional governance activities on an "as needed" basis. Limits on these additional activities should be established in consultation with the faculty on a yearly basis and made part of the annual contract.

Unless activities in addition to the agreed upon limits are endorsed by a majority of the full-time faculty, participation will be voluntary. If a faculty member is unable to attend a meeting, the Committee Chair should be notified.

O. CODE OF ETHICS

Avoidance of Conflicts

The University faculty and staff are obliged to refrain from conduct which gives rise to conflicts of interest as defined below. All faculty and staff members must disclose, in prompt and written fashion to President, situations where a conflict of interest might reasonably arise and shall refrain from participating in the matter unless and until written approval is received.

Conflicts of Interest Defined

Faculty and staff members are considered to have a conflict of interest if:

S/he has existing or potential financial or other interests which impair or might reasonably appear to impair such member's independent, unbiased judgment in the discharge of his or her responsibilities to the School, or

S/he is aware that a member of his or her family, or any organization in which such trustee (or of his or her family) is an officer, director, employee, member, partner, trustee, or controlling stockholder, has such existing or potential financial or other interests.

For the purposes of this provision, a family member is defined as a spouse, parents, domestic partner, siblings, children and any other relative if the latter resides in the same household as the trustee. All the University faculty and staff members shall disclose to the President any possible conflict of interest at the earliest possible time and shall do so in writing.

Any University faculty or staff member who is uncertain whether a conflict of interest may exist (as to himself/herself) shall, at the earliest possible time and in writing, request the President to resolve the question.

Relations with Non-University Entities

The University's faculty and staff members shall at all times deal on behalf of the University with non-University entities, inclusive of actual and prospective consortia members, partners, granting agencies, donors, government agencies, contractors, suppliers, consultants, and other entities or persons doing, or seeking to do business or engage in a relationship with the University (called "non-University entities"), in a manner that excludes any consideration of personal advantage for themselves.

Gifts and Gratuities

Faculty and staff members shall not accept personal gifts, gratuities, favors, accommodations or similar things of value, from non-University entities, if those things of value reasonably would be expected to adversely affect their discharge of the University functions to the exclusive benefit for

the University. Personal receipt of all gifts, gratuities, favors and other things of such value from non-University entities shall be immediately disclosed in writing.

The University's Property

Faculty and staff members shall not transmit to non-University entities, or otherwise use for their personal gain, University-owned, funded, or supported property, work product, data, or other information or materials.

There will be no transactions between the University, on the one hand, and the University faculty and staff members or a family member, or any business entity in which faculty and staff members or a family member has a substantial interest, on the other hand, except where all facts of the matter are fully disclosed in writing and there is a determination that the contract or transaction is not unfair as to the University. (Substantial interest excludes a) the interest of a person in a corporation, firm, or other organization as a debt or equity holder where the debt or equity held is less than 1% of the outstanding debt or equity of such corporation, firm, or other organization; b) the interest of a person in a corporation, firm, or other organization by reason of being a director, officer, employee, or their equivalents; c) the interest of a director of a corporation or a member of one's immediate family in another corporation, firm, or other organization which arises by reason of the fact the corporation is a creditor of such other corporation, firm, or other organization.)

Nepotism

It is the policy of the University to hire the best-qualified candidates and to avoid potential, actual, or perceived conflicts of interest in hiring or promoting faculty and staff members. A family member may only be employed in a position within the same organizational unit as a University faculty and staff member with the approval of the president. A close personal relationship shall be treated as if it were such a family relationship if it includes a sexual or romantic relationship or a similarly close personal relationship engaged in outside of the University.

Other

Other prohibited actions by a faculty and staff members occur when there is such a divergence between an individual's private interests and his or her obligations to the University, such that an independent observer would reasonably question whether the individual's actions or decisions in respect to the University are determined or influenced by considerations of personal gain, financial or otherwise. A prohibited action depends on the situation, and not on the character or actions of the individual.

P. POLICY FOR OUTSIDE CONSULTING BY MEMBERS OF THE FULL-TIME FACULTY

The opportunity for members of the Full-Time Faculty to engage in consulting activities outside PAU is a privilege long recognized as beneficial both to the individual faculty member and to PAU. Limits on these activities must be recognized and accepted, however, in order that academic objectives can be insured and the corpus of the School protected.

Q. PRINCIPLES AND GENERAL STANDARDS FOR FACULTY CONSULTING

The purpose of the policy on consulting and related activities is to state with both clarity and generality the limits on such activities and the reasons for those limits. Consulting can provide an important means of continuing education of the faculty and can provide them with a currency and experience in aspects of their professional fields outside the context of the University itself. Though such attributes of consulting may make faculty better scholars and teachers, the employer-employee nature of the consulting process has in it the potential for diversion of faculty from their primary activities and responsibilities.

Therefore, the basic principle of this policy statement is that there needs to be a limitation upon the time that a PAU faculty member may spend in consulting.

The limits set forth below are intended to strike a fair balance between consulting and regular faculty duties within the School and serve to safeguard the interest of both parties.

Though comprehensive, the policy cannot deal unambiguously with every instance of consulting. In cases of doubt, the primary guide should be the intention to promote the interests of the School as a place of education, learning, and research. Whenever uncertainty exists, it is the faculty member's obligation to obtain prior consent from the Dean.

Definition Of “Consulting”

In general, consulting is defined as professional activity related to the person's field or discipline, where a fee-for-service or equivalent relationship with a third party exists.

There are many types of consulting relations and fee arrangements, and the precise form entered into is not determinative. The principle is that, in consulting, a person agrees to use his or her professional capabilities to further the agenda of a third party, in return for a significant immediate or prospective gain. Thus, it does not matter whether the person is on the client's payroll, works as an independent contractor, or acts as a director or as a manager of a company engaged in activities related to the consultant's field or discipline. Included under this definition are situations in which a PAU faculty member is chosen to serve on a Board of Directors of a company, or in some equivalent position, because of that faculty member's affiliation with PAU and with a discipline that serves to enrich the company's advisory councils. All of these examples are considered to be consulting.

Several types of faculty activity, other than regular school duty, are not “consulting”. These are:

(1) Publications

Scholarly communications in the form of books, movies, television productions, art works, etc., though frequently earning financial profit for a faculty member and for another party (*e.g., publisher*), are not viewed as consultation. To attempt to distinguish between types of books, to assess the roles of book publication in different disciplines, or to challenge the historical relation

between authorship and manuscript ownership would be fraught with danger and confusion. These reservations apply equally to the other types of scholarly communication cited above.

(2) Professional Service – Professional Affiliation

Under this rubric fall service on national commissions, on governmental agencies and boards, on granting agency peer-group review panels, on visiting committees or advisory groups to other universities, and on analogous bodies. The fundamental distinction between these activities and consulting is that they are public or School service. Although an honorarium or equivalent sometimes is forthcoming, these professional service activities are not undertaken for personal financial gain. Therefore, such service does not fall within the consulting category.

(3) "Moonlighting"

Faculty members may pursue a variety of endeavors for financial profit that are not directly related to the person's field or discipline. These efforts are part of the faculty member's private life and do not come under School regulation or this consulting policy. To emphasize again, however, such endeavors may only be pursued after the full-time commitment to PAU has been fulfilled.

Limits On Time Spent Consulting

Consulting is permitted provided the faculty member's full-time obligation to the School is met. The maximum number of consulting days permissible for a member of the faculty on a full-time appointment is eleven (11) days per academic quarter. This limit is based on a judgment about incentives and is aimed at furthering PAU's teaching and research objectives; it is not derived from accounting principles. School holidays are not included in each eleven (11) week academic quarter from which the eleven (11) day consultation limit is derived. A limited amount of "averaging" of consulting time among full-time quarters is permissible if, on occasion, a faculty member plans to consult for more than eleven (11) days in one (1) quarter but no more than thirty-three (33) days for three (3) academic quarters (*the Guidelines for Implementation deals with averaging in more detail*). Eleven days of consulting per quarter, or forty-four (44) days for four (4) quarters of active duty, is intended to be a liberal allocation, yet one that is fair to PAU.

Responsibilities Of Faculty Members

The responsibility for adhering to the limit on consulting days, and other aspects of PAU's consulting policy, lies first with the individual faculty member. The guiding principle was stated in the first paragraph above.

Faculty members should resolve any question and/or ambiguities with the Dean of Academic Administration and Operations before the fact, so that the School community is not injured by their actions. The School has the right, and indeed the obligation, to protect itself from losses due to excess consulting and to seek reimbursement from the faculty member for salary and benefits covering time spent on consulting beyond the limits provided for by this policy, especially in cases where amounts are significant and the faculty member did not seek prior consultation or follow the advice given by the Dean. Faculty members have an obligation to report fully the level (*i.e.*,

the number of days) of their consulting activities when asked to do so by the School so that it may be determined whether the principles set forth herein are being adhered to. Faculty members must be especially sensitive to potential conflicts of interest between their teaching responsibilities vis-à-vis graduate students working under their supervision and their outside consulting interests. To avoid such conflicts, a PAU faculty member may not hire or directly supervise a PAU student in employment activities outside the School while simultaneously serving as either the student's advisor or as a participant on that student's dissertation committee without the prior approval of the Dean.

Guidelines For Implementation – General

The nature of the consulting work should in no way detract from the prestige of the School or the professional stature of the faculty member. Consulting obligations undertaken should conform to this objective.

Averaging

Full-time Faculty members who expect to consult for more than eleven (11) days in any one (1) academic quarter, but not more than thirty-three (33) days in the academic year, should so inform the Dean on a prospective basis. A reasonable amount of "averaging" over the quarters of the academic year (*or the full year, if the person is at one hundred percent [100%] time for all four [4] quarters*) ordinarily is acceptable, although particular circumstances such as teaching loads or terms of support under grants or contracts will need to be taken into account. Averaging of consulting time from quarters of less than full-time service to quarters of full-time service is not permitted.

Consulting During The Fourth Quarter Or During Periods Of Vacation Or Leave Without Salary

Faculty members on nine (9) month appointments with no salary supplement for the fourth quarter (*usually, but not always, the summer quarter*) are not subject to the eleven (11) day limit during the fourth quarter. Nor does the limit apply to faculty members during School vacation or on leave without salary. The eleven (11) day limit should be prorated on the basis of one (1) day per calendar week of duty time for those on leave without salary for less than one (1) quarter.

If the faculty member receives a 2/9 salary supplement for the fourth quarter, the regular 11-day consulting limit shall apply. If the appointment is for less than 2/9 time, one (1) of two (2) conditions applies: the appointment specifies a particular calendar period as "on duty," in which case the regular consulting policy applies during that period and there is no limit during the remaining time; or (3) the appointment is at part-time for all or part of the quarter, in which case the paragraph dealing with consulting during periods of part-time employment applies.

Consulting While On Sabbatical Leave

The purpose of sabbatical leave is to permit faculty members to take time off from normal School duties to advance their scholarly interests so that they may return to their post with renewed vigor, perspective, and insight. A faculty member on sabbatical leave receiving full-time School salary may consult up to the regular eleven (11) day limit per quarter during the period of sabbatical. A person on sabbatical receiving less than full-time School salary may supplement income up to full-

time equivalent salary, and, in addition, may devote up to a maximum of eleven (11) days per quarter to consulting.

Hourly Consulting

Some consultation is carried out by the hour and not by the day. In such cases, a total of one hundred and ten (110) consulting hours is permitted per full-time academic quarter. Stipulation of this total, as opposed to an hour-to-day conversion formula, permits faculty members added flexibility in carrying out consulting and still protects the primary interests of the School. The figure one hundred and ten (110) does not derive from accounting principles, but stems from subjective judgments about the length of average faculty work days, the work days of businesses employing consultants, and the desire to accommodate legitimate needs of some School faculty. For those individuals who consult on both a day-basis and an hourly-basis during one (1) academic quarter, a formula in which one (1) consulting day equals ten (10) consulting hours should be used in calculating total consultation time.

Use Of School Facilities Or Services

The facilities and services of PAU may not be used in connection with compensated outside work, except in a purely incidental way.

R. FACULTY CONTRACTS AND INSTRUCTIONAL FEE(S)

Full-Time Contracts

Tenure and tenure-track faculty receive annual contracts specifying areas of faculty responsibility including the following:

Direct Instructional Activity (Teaching and Research)

Eighteen quarter units of classroom teaching/year; independent study; academic advisement; chairing a minimum of three (3) dissertation committees for students in their dissertation year and serve as dissertation committee member on six (6) other committees or the equivalent. The number of units per year will also vary depending on the track to which the individual is appointed. Faculty on the Teacher-Scholar line are expected to teach twenty-four (24) units during the year as well as perform the other duties listed above.

Indirect Instructional Activity (Governance)

Service on the Faculty Council, and other standing committee(s) of the faculty; extra committee appointments; committee chairs and/or supervision, councils, or task forces.

Full-Time Faculty Work Week

The full-time faculty work week is four (4) days per week; an additional one (1) day per week is used for release time for consultation, scholarly or private practice activities. Faculty are responsible for committing sufficient time to meet all academic responsibilities, including meeting with students, faculty meetings and teaching courses, typically on a four days per week basis, in person or by phone. They are also responsible for completing tasks and annual reports about assignments and achievements in a timely way

Part-Time Faculty Contracts

Core part-time faculty members receive annual contracts. These contracts specify course title(s), administrative functions and/or committee obligations and salary. Non-core part-time faculty members receive quarterly contracts, which specify course title(s), instructional fee(s) and administrative functions and/or committee obligations. Adjunct faculty members receive contracts for specific responsibilities.

Other Instructional Fees For Part-Time Faculty

Instructional fee(s) for independent studies amount to one-half of the student registration fee per quarter unit. Full-time faculty members are not paid for dissertations or independent studies. Part-time faculty dissertation committee members are paid on the basis of three (3) course units for the chairperson and one (1) course unit for the committee members. They are paid one third of the amount after the successful dissertation proposal and two thirds (2/3) after the successful completion of the dissertation.

Honoraria For Guest Lecturers

Honoraria for guest lecturers must be approved by the program director ahead of time and arranged by the instructor. Instructors are required to attend scheduled class meetings in any course with guest lectures, unless excused by the Dean of Academic Administration and Operations.

W. MATERNITY LEAVE POLICIES FOR FACULTY WOMEN

The following topics are covered below:

- Maternity Leave
- Child Care Leave
- Reduced Teaching Load
- Tenure Clock Considerations

Maternity Leave

Maternity Leave is the common designation for pregnancy disability leave for the period of time before and after childbirth during which a faculty member is relieved of all her normal University responsibilities, including teaching, research, and other duties such as service on Departmental and University committees. For departmental planning purposes, it should generally be expected that a faculty member will be on maternity leave (i.e., absent from all duty) for approximately ten (10) weeks (four (4) weeks prior to the birth and six (6) weeks after). Department chairs and deans are expected to view such requests for maternity leave as normal. As sabbatical leaves are intended for professional development, faculty members are not expected to use their accrued sabbatical leave for this purpose.

During maternity leave, the faculty member remains on the regular payroll at full salary for up to ninety (90) days, but she is expected to apply for Short Term Disability Insurance according to established procedures.

The number of weeks that the faculty member's physician certifies that she is medically disabled will determine the number of weeks for which the insurance company will authorize disability pay, but as noted above the current medical standard for a normal pregnancy and uncomplicated delivery is four (4) weeks prior to the birth and six (6) weeks after. If there is a longer period of medically certified disability, then disability payments will continue for a longer time; the period during which disability payments are authorized by the insurer can also be shorter depending upon one's physician and his or her opinion of the individual's physical condition. For whatever period of time the disability payments are received, the faculty member must endorse the checks back to her department. Although the disability payments do not cover the full amount of her salary, this has the effect of partially reimbursing the University account that has been continuing her full salary. (This is comparable to the practice whereby a woman staff member would partially reimburse her sick leave account that had been charged for her full salary.)

In the event the period of disability exceeds ninety (90) days, a faculty or a staff woman would go onto long-term disability, which would pay two-thirds of her salary. A separate application is required. The above policies and procedures have been in effect for a number of years; no change is proposed.

Child Care Leave

Any faculty member, male or female, who becomes a parent of an infant whether by birth or adoption, may request a leave without salary of up to one year in duration for the purpose of caring for the child. (In the case of a faculty member who gives birth, such a leave would be separate from maternity leave, which, as described above, is the period of disability.) Such requests are subject to the normal approval process, but department chairs and deans are urged to give priority to requests for leave without salary for childcare. This policy has also been in effect for a number of years, and it will remain unchanged.

Reduced Teaching Load

The following policy is an option for women members of the faculty who give birth to a child. Policies for faculty members whose spouses give birth to a child will comply with relevant law and regulations.

In recognition of the physical and biological demands that begin during pregnancy and continue well into the post partum period, and in recognition of the fact that carrying a full teaching load in addition to research, advising and committee work entails a commitment on the part of a faculty member substantially in excess of a standard work week, women members of the faculty who so request should not be required to engage in classroom teaching during the quarter in which they expect to give birth, nor in the subsequent quarter. The normal expectation is that, except for the time that they are on maternity leave (disability leave), they would be responsible for all normal duties other than classroom teaching (e.g., continued work in their fields of research and scholarship, graduate and undergraduate student advising, committee work, etc.); they would remain on full salary during this time. If a woman wants to return to teaching sooner, of course she may do so, but this should be a free choice on her part.

If the quarter following the quarter in which the faculty member gives birth is the faculty member's scheduled off-duty quarter, she would be expected to resume her regular teaching load the quarter following that off-duty quarter. For example, a faculty member who gives birth during Spring Quarter who is normally off-duty during Summer Quarter would be expected to resume her regular teaching duties in the Autumn Quarter. A faculty member who gives birth during her off-duty quarter (e.g., Summer) would not have teaching duties during the Autumn Quarter, but would be expected to resume them in the Winter Quarter.

Requests for replacement teaching funds by department chairs to the Dean of Academic Administration and Operations should be routinely approved whenever the need for a replacement teacher stems from a faculty member giving birth.

In implementing this policy, programs should equitably reduce annual teaching loads approximately in proportion to the quarters in non-teaching status. That is, the faculty member should not be expected to assume a heavier-than-normal teaching load when she returns to regular teaching duty. Similarly, program directors and the Dean should be sensitive to and guard against other possible adverse consequences. For example, the fact that a faculty member had been on maternity (disability) leave and had carried a reduced teaching load, or had taken a child care leave (leave without salary) in a given year should not influence the setting of the individual's salary in the subsequent year to any greater degree than other disability leave, leave without salary, or negotiated reduced teaching load would. That is, while it is proper for department chairs and deans to take into consideration an individual's productivity and contribution to the department or school during the prior year when setting salaries, the same standards should apply to all faculty in the program without respect to the type of leave taken.

Tenure Clock Considerations

Any faculty member who gives birth while holding a tenure-accruing appointment may request of the Dean a one-year extension of the date on which the current appointment is scheduled to expire. Only two such extensions (i.e., for two births) are allowed. The Dean will routinely approve such requests, but the Dean's approval does not automatically extend the individual's appointment. [Her reappointment would be subject to normal review process including a departmental vote.]

The availability of the option of postponing the date on which the appointment would have expired is not tied to the number of weeks the faculty member was on maternity leave, or whether or not she requested a reduced teaching load, or whether she took a leave without salary for child care. It would apply even if the faculty member gave birth during her off-duty quarter and returned immediately to a regular teaching load.

If a faculty member took a leave without salary in connection with giving birth, her tenure clock is automatically stopped for the duration of the leave, and she will automatically (i.e., without the necessity of a departmental vote) receive a reappointment equal to the duration of her leave without salary. This stopping of the tenure clock would be in addition to the one-year postponement of the

date on which she would normally have accrued tenure by length of service as described in the preceding paragraph.

Similarly, the tenure clock of a male faculty member who takes a leave without salary for the purpose of childcare will stop for the duration of the leave up to a maximum of one year.

PART IV. CAMPUS-WIDE PERSONNEL POLICIES

A. LEAVES OF ABSENCES

Bereavement Leave

PAU understands the need for time off when an immediate family member dies. Full-time regular employees may be granted up to three workdays of paid bereavement leave. If an employee is required to travel more than 500 miles away, PAU will grant five days of paid leave.

Medical and Family Leaves of Absence (FMLA/CFRA)

State and federal family and medical leave laws provide up to twelve (12) work weeks of unpaid family/medical leave within a 12-month period, provided that you have worked for at least twelve (12) months and for at least 1,250 hours in the last twelve (12) months. For purposes of calculating the 12-month period during which twelve (12) weeks of leave may be taken, PAU uses a "rolling" 12-month period dating back to the time you last utilized leave. Under most circumstances, leaves under federal and state law will run concurrently and the eligible employee will be entitled to a total of twelve (12) weeks of family and medical leave in the designated 12-month period. You may take family/medical leave for any of the following reasons:

- The birth of a child, or placement of a child for adoption or foster care;
- To care for your spouse, registered domestic partner, child, or parent who has a serious health condition; or
- For a serious health condition that renders you unable to perform the essential functions of your job.

When it is medically necessary, you may take the first twelve (12) workweeks of leave in a 12-month period (to be measured from the date that your first FMLA begins) either intermittently or on a reduced schedule. "Intermittent leave" is leave taken in separate blocks of time due to a single illness or injury. A "reduced leave schedule" is a schedule that reduces the usual number of hours in a workweek or hours per workday of an employee. If you request an intermittent leave or a reduced leave schedule that is foreseeable because of a planned medical treatment, you may be required to transfer to an available alternative position for which you are qualified, that has equivalent pay and benefits, and better accommodates (from PAU's point of view) recurring periods of leave than your regular position.

If you request a leave of absence that is foreseeable because of a planned medical treatment, you should schedule your treatment so that it will not disrupt PAU's operations.

PAU may ask for periodic reports from your healthcare provider, in 30-day increments or as requested, which describe your status and your prospects for return to work. If such reports are not provided, PAU may terminate the leave of absence and may conclude that you have voluntarily resigned from your position.

The Integration of Federal (FMLA) and State (CFRA) Leave Laws

Under most circumstances, leave under the federal Family Medical Leave Act (FMLA) will run concurrently with leave under the state California Family Rights Act (CFRA). This means that employees on medical leaves of absence will be eligible for a total of 12 weeks of family and medical leave in the designated 12 month period. However, if a leave of absence is caused by pregnancy, childbirth, or related medical condition, then the state CFRA leave will not run concurrently with the federal leave under FMLA.

Notification Requirements for your Own Serious Health Condition

You must submit a completed Application for Leave of Absence to the Business Office Manager, with a copy to your supervisor. You should give at least 30 days' advance notice before your leave or transfer is to begin if the need for the leave or transfer is foreseeable. When 30 days' notice is not possible, notice must be given as soon as possible.

If the Family and Medical Leave Act (FMLA)/California Family Rights Act (CFRA) request is made because of your own serious health condition, PAU may require, at its expense, a second opinion from a health care provider that PAU chooses. The health care provider designated to give a second opinion will not be one who is employed on a regular basis by PAU.

If the second opinion differs from the first opinion, PAU may require, at its expense, the employee to obtain the opinion of a third health care provider designated or approved jointly by the employer and the employee. The opinion of the third health care provider will be considered final and binding on PAU and the employee.

You must also present a written certification, signed by your health care provider. You should provide this certification within fifteen (15) days of a request for it, unless it is not practicable. If you do not meet this deadline, you may not be allowed to take your leave until you provide the appropriate certification. If you are already on leave, you may not be allowed to continue your leave.

After you go out on leave, if your disability extends beyond the time stated in your original letter, you must submit an additional certification from your health care provider.

Notification Requirements for Leave to Care for a Family Member

If the leave is needed for to care for a sick child, spouse, or parent, the employee must provide a certification from the health care provider stating:

- Date of commencement of the serious health condition;
- Probable duration of the condition;

- Estimated amount of time for care by the health care provider; and
- Confirmation that the serious health condition warrants the participation of the employee.

When both parents are employed by PAU, and request simultaneous leave for the birth or placement for adoption or foster care of a child, PAU will not grant more than a total of 12 workweeks of family/medical leave for this reason.

Service Member FMLA Leave

Employees are now eligible to take a leave of absence for a covered family member's service in the Armed Forces, for either one or both of the following reasons:

- A “qualifying exigency” arising out of a covered family member's active duty or call to active duty in the Armed Forces in support of a contingency operation, with a leave duration of up to twelve (12) workweeks in any 12-month period.
- To care for a covered family member (“next of kin”) who has incurred an injury or illness in the line of duty while on active duty in the Armed Forces provided that such injury or illness may render the family member medically unfit to perform duties of the member's office, grade, rank or rating. Leave for this purpose may last up to twenty-six (26) workweeks during a single 12-month period. Please note that leave may not exceed twenty-six (26) workweeks in a single 12-month period when combined with other FMLA qualifying leave).

Service member FMLA runs concurrent with other applicable leaves provided under federal, state and local law.

Reinstatement

If you and PAU have agreed upon a definite date of return, you will be reinstated on that date if you notify the Business Office that you are able to return on or before that date. If the length of time has not been established, or if it differs from the original agreement, you will be returned to work within two business days after you notify the Business Office of your readiness to return.

When you are ready to return to work, you must present a release from your health care provider certifying that you are able to perform the essential functions of your former position, with or without reasonable accommodation. Failure to provide certification by the health care provider of your fitness to return to work will result in denial of reinstatement for the employee until the certificate is obtained.

If you have taken twelve (12) workweeks or less total leave time during a 12-month period because of either: (1) your serious medical condition (not including pregnancy); or (2) family care, you will be reinstated to the position you held before you began your leave, or you will be placed in an equivalent position which is virtually identical to your original position in terms of pay, benefits, promotional opportunities, and working conditions. If your total leaves of absence exceed twelve (12) workweeks, PAU cannot guarantee that you will be reinstated.

B. PREGNANCY DISABILITY LEAVE

Employees who are disabled by pregnancy or related medical condition are eligible for Pregnancy Disability Leave (PDL). PDL is for any periods of actual disability caused by pregnancy, childbirth or related medical condition for up to four months (or 88 workdays for full-time employees). PDL may be taken in one continuous period of time or intermittently, on an as needed basis. PDL generally covers time of for prenatal care, severe morning sickness, doctor-ordered bed rest, childbirth and recovery from childbirth.

Employees affected by pregnancy or related medical condition may also be eligible to transfer to a less strenuous or hazardous position and duties, if such a transfer is medically advisable and can be reasonably accommodated.

PAU will transfer you (if you are affected by pregnancy) to a less strenuous or hazardous position if:

- You request a transfer;
- Your request is based upon the certification of your health care provider as *medically advisable*; and
- The transfer can be reasonably accommodated.

You are "affected by pregnancy" if you are pregnant or have a related medical condition, and because of pregnancy, your health care provider has certified that it is *medically advisable* for you to transfer to another position. No additional position will be created, and PAU will not discharge another employee, transfer another employee or promote or transfer any employee who is not qualified to perform the new job. If you are transferred to a different position due to pregnancy, you can return to your same or comparable position when your healthcare provider certifies that you can safely perform your regular duties.

If it is medically necessary for you to take intermittent leave or leave on a reduced leave schedule, and the leave is foreseeable based on a planned medical treatment, PAU may require you to transfer temporarily to an available alternative position, with equivalent pay and benefits, that better accommodates recurring periods of leave (from PAU's perspective) than your regular position.

Notification Requirements

You should submit a completed Application for Leave of Absence to the Business Office, with a copy to your supervisor. You should give at least 30 days' advance notice before your leave or transfer is to begin if the need for the leave or transfer is foreseeable. When 30 days' notice is not possible, notice must be given as soon as possible.

As a condition of your pregnancy-related disability leave or transfer, you must present a written certification signed by your health care provider.

If you continue to be disabled at the expiration of the time period which your health care provider originally estimated you needed, you must obtain recertification to continue your leave.

Reinstatement

If you and PAU have agreed upon a definite date of return, you will be reinstated on that date if you notify your supervisor that you are able to return on or before that date. If the length of the leave has not been established, or if it differs from the original agreement, you will be returned to work within two business days, where feasible, after you notify the Business Office of your readiness to return.

When you are ready to return to work, you must obtain a written release from your health care provider certifying that you are able to perform safely all of the essential duties of your position, with or without reasonable accommodation.

PAU will reinstate you to the position you held before your leave began, unless one of the following conditions exists:

- You would not otherwise have been employed in your same job at the time reinstatement is requested;
- Your job could not be kept open or filled by a temporary employee without substantially undermining PAU's ability to operate safely and efficiently;
- You have directly or indirectly indicated your intention not to return to your job;
- You are no longer able to perform safely the essential functions of your former position with or without reasonable accommodation; or
- You are no longer qualified for the position.

If PAU cannot reinstate you to your position, it will offer you a comparable position provided that a comparable position exists and is available. A "comparable position" is virtually identical to your original position in terms of pay, benefits, promotional opportunities and working conditions, and involves the same or substantially similar duties and responsibilities. A position is "available" if there is a position for which you are qualified that is open on your scheduled date of return or within 10 working days thereafter. If you have not been employed for 12 months and you did not work 1,250 hours in the 12-month period before the first date of your leave, PAU can deny you a comparable position if one is available *but* filling it with you would substantially undermine the ability of PAU to operate safely and efficiently. If you were laid off during your leave and no comparable position is available, the employment relationship is terminated.

C. EXTENDED DISCRETIONARY LEAVE OF ABSENCE

There may be circumstances when your own serious condition will require a leave of absence that exceeds the 12 weeks of leave mandated by the federal leave law under the Family Medical Leave Act (FMLA) and the state leave law under the California Family Rights Act (CFRA).

An employee who is unable to perform the essential functions of his or her position, may or may not be granted an extended leave of absence beyond the leaves mandated by FMLA and CFRA. The request will be determined at the sole discretion of PAU.

Employees on an extended leave of absence for their own serious health condition will need to provide notice from a healthcare provider proving that the serious health condition has continued and provide periodic updates, every 30 days or upon request, depending on PAU's needs.

Reinstatement

When you are ready to return to work, you must present a release from your health care provider, certifying that you are able to perform the essential functions of your former position, with or without accommodation.

Please be aware that if your leave of absence has exceeded the length mandated by federal and state leave laws, which is typically 12 weeks for your own serious illness and for up to 17 weeks and three days for leaves related to pregnancy, childbirth or related condition, PAU cannot guarantee that you will be reinstated.

Benefits during Work-Related Illness or Injury Absence

- **Workers' Compensation Disability Insurance.** Instead of PDL or PFL benefits through EDD, you may receive workers' compensation disability insurance, as mandated by state law. This insurance will be provided by PAU's workers' compensation carrier.
- **Health Insurance.** Your employer-sponsored medical, dental and life insurance will be maintained during your leave on the same terms and conditions as coverage would have been provided if you had remained continuously working. These benefits will cease after six months of absence, unless you assume the cost of coverage under COBRA.
- **Accrual of Benefits.** Vacation and sick leave will not accrue during an approved leave of absence caused by non work-related injuries or illness.
- You will be credited with service for the period of your disability.

D. PERSONAL LEAVE

Regular staff members may be granted a personal leave of absence without pay by the Administration, which would be made in the sole discretion of the University.

Eligible employees must have at least two years' continuous service, that is, two years of uninterrupted employment with PAU. The granting of a personal leave of absence will be in the sole discretion of PAU and will take into account the reason for the requested leave, the length of employment, past performance, the employee's history of past requests and the needs of PAU.

Leaves should be requested well in advance to arrange for appropriate replacement personnel. All requests must specify a beginning date for the leave and a date for return to work.

PAU cannot guarantee immediate reinstatement at the conclusion of a personal leave of absence. At the conclusion of a personal leave, an attempt will be made to return the employee to the position he or she held at the time the leave commenced, provided that the position is then vacant and still exists. If the position is not immediately available, an attempt will be made to return the employee to the first available position for which the employee is qualified, at the rate of pay normally applicable to the position. If no position is available, the employee will be placed on a preferential reinstatement list and given the first opportunity for recall to positions for which he or she is qualified.

Employees may maintain health and dental coverage at their own expense, pursuant to COBRA. PTO days are not earned during personal leaves.

Staff employees are required to use any available PTO time before or during an unpaid personal leave of absence.

E. SCHOOL ACTIVITIES

If you are the parent, guardian or grandparent with custody of a child or children enrolled in kindergarten or grades one through 12, or attending a licensed child daycare facility, you may take up to 40 hours of leave each calendar year, not to exceed eight (8) hours in any calendar month, to participate in the school activities of the child or children. You must use your accrued PTO time, if you have any, for this purpose. You must provide reasonable advance notice of your planned absence to your supervisor. If you are requested by your supervisor, you must provide documentation from the school verifying the date and time of your visit(s).

If you are the parent or legal guardian of a child who has been suspended from school, and you receive a notice from the child's school requesting that you attend a portion of a school day in the child's classroom, pursuant to law, you may take unpaid time off from work to appear at the school. You must give reasonable advance notice to your supervisor.

F. JURY DUTY AND WITNESS LEAVE

PAU will grant employees time off for mandatory jury duty, witness or court appearances, when called to serve as a juror or required to appear as a result of jury summons, a court order or subpoena. Regular full-time employees will receive up to 20 days paid leave in a 12-month period while serving in these capacities. Any remainder will be unpaid or you may use vacation time. Full-time employees must turn over to PAU service fees paid by the court, if they are being compensated for the time off. Other employees will be allowed time off without pay. You must report for work when not actually

serving on the jury. Copies of your jury summons, court order or subpoena must be presented to your supervisor in advance of the absence.

G. TIME OFF FOR VOTING

Employees who wish to vote in a state-wide election will be granted up to two hours off without loss of pay at the beginning or end of a working day, if due to work, they would not otherwise have sufficient time outside working hours to vote. To receive time off for voting, you must notify your supervisor in advance of the election to schedule your absence.

H. MILITARY LEAVE

PAU provides unpaid leaves of absence of up to a total of five (5) years to accommodate service in the uniformed services, including the Armed Forces, Coast Guard, military reserves units, and the National Guard. ‘Service’ includes active duty, active duty for training, initial active duty for training, inactive duty training, and absence from work for an examination to determine fitness for duty. Employees will receive military leave in accordance with the requirements of their military orders.

You should give notice to your supervisor of your need for a military leave of absence, as soon as possible. If you do not provide the appropriate notice, you may not be eligible for reemployment.

The specific terms of the absence and of your right to reinstatement, seniority, benefits, and compensation after a military leave are governed by law. If you have any questions about military leaves of absence, please contact the Business Office.

I. MILITARY SPOUSE LEAVE

An employee who works more than 20 hours per week and has a spouse in the Armed Forces, National Guard or Reserves who has been deployed during a period of military conflict is eligible for up to 10 unpaid days off when their spouse is on leave from (not returning from) military deployment.

The employee must request this leave in writing to the Business Office Manager within two business days of receiving official notice that their spouse will be on leave. The employee requesting this leave is required to attach to the leave request written documentation certifying the spouse will be on leave from deployment.

J. DOMESTIC VIOLENCE LEAVE

Employees who are victims of domestic violence are eligible for unpaid leave. You may request leave if you are involved in a judicial action, such as obtaining restraining orders, or appearing in court to obtain relief to ensure your health, safety, or welfare, or that of your child.

You should provide notice and certification of your need to take leave under this policy. Certification may be sufficiently provided by any of the following:

- A police report indicating that the employee was a victim of domestic violence;
- A court order protecting or separating the employee from the perpetrator of an act of domestic violence, or other evidence from the court or prosecuting attorney that the employee appeared in court; or
- Documentation from a medical professional, domestic violence advocate, health-care provider, or counselor that the employee was undergoing treatment for physical or mental injuries or abuse resulting in victimization from an act of domestic violence.

PAU will, to the extent allowed by law, maintain the confidentiality of an employee requesting leave under this provision.

The length of unpaid leave an employee may take is limited to the duration of time allowed by applicable state and federal leave laws.

K. VICTIMS OF CRIME LEAVE

An employee who is a victim or who is the family member of a victim of a violent felony or serious felony may take time off from work under the following circumstances:

- The crime must be a violent or serious felony, as defined by law; and
- You must be the victim of a crime, or you must be an immediate family member of a victim, a registered domestic partner of a victim, or the child of a registered domestic partner of a victim.

An immediate family member is defined as: a spouse, child, stepchild, brother, stepbrother, sister, stepsister, mother, stepmother, father or stepfather.

A registered domestic partner means a domestic partner who is registered in accordance with California state law.

The absence from work must be in order to attend judicial proceedings related to a crime listed above.

Before you are absent for such a reason, you must provide documentation of the scheduled proceeding. Such notice is typically given to the victim of the crime by a court or government agency setting the hearing, a district attorney or prosecuting attorney's office or a victim/witness office.

If advance notice is not possible, you must provide appropriate documentation within a reasonable time after the absence.

Any absence from work to attend judicial proceedings will be unpaid, unless you choose to take paid time off, such as personal days, accrued vacation, and paid sick leave.

L. UNIVERSITY BENEFIT PLANS

Paid Time Off (PTO) Schedule

All regular staff earn PTO. PTO time is accrued at the end of each pay period. Regular staff who are less than full-time may accrue to a pro-rata limit based on the percentage full-time (50% or 15%). Faculty are not given PTO, but rather, are expected to make up missed class times during the length of their contract.

Years of Service	Semi-Monthly Accrual	Potential Annual Accrual Rate
0-4	5 hours per pay period	120 hours/15 days
5+	6.67 hours per pay period	160 hours hours/20 days

Employees start accruing the next higher accrual level beginning January 1st of the year in which their 5th employment anniversary falls.

Scheduling for PTO time must be requested by the employee and approved in advance by the employee’s manager. The employee’s manager maintains the discretion to grant PTO time without advance notice. In such cases, the manager may or may not grant PTO time based on the operational needs of the department.

In addition, managers are hereby authorized to grant requests for an advance of up to a total of 10 PTO days per year, in order to facilitate vacation requests during the early part of the year when employees will have a limited balance in the PTO account. Repayment shall be by deductions from wages, if the employee ends employment before repayment of such PTO.

On each December 31st, each employee may have a balance of not more that 16 hours in his/her PTO bank in order to be eligible to continue to accrue PTO for the calendar year commencing January 1st. Employees who have in excess of 16 hours in their PTO account on the close of business on December 31st of any year will not accrue any additional PTO until the beginning of the calendar quarter that follows the quarter in which their PTO bank has no more than 16 hours.

EXAMPLES:

Employee A has 16 hours in their PTO bank on December 31, 2011. They will begin to accrue PTO hours on January 1, 2012.

Employee B has 26 hours in their PTO bank on December 31, 2011. They take 10 PTO hours in February. They resume accruing PTO hours on April 1, 2012.

Employees are expected to schedule their vacation and other time off in a manner such that they have brought their PTO balance to zero by December 31st and supervisors are expected to adjust operational expectations so that employees' requests for time off work can reasonably be granted.

Employees who terminate regular employment will receive on their last day of employment a lump-sum payment of their accumulated unused PTO at their current rate of pay.

M. HOLIDAYS

PAU currently provides regular, full- and part-time staff employees the following paid holidays each year:

- Martin Luther King Day
- President's Day
- Memorial Day
- Independence Day
- Labor Day
- Thanksgiving
- the Friday after Thanksgiving,
- Christmas through New Year's Day, inclusive.

Employees may also take a half-day off for Passover or Good Friday.

Non-exempt employees are entitled to receive compensatory pay and exempt employees are entitled to release time off when required to work on a holiday.

Eligible part-time employees are entitled to pro-rated benefits based upon their scheduled hours.

Temporary employees are not eligible for paid holidays.

N. HEALTH INSURANCE BENEFITS

Health insurance benefits described in this section apply to regular staff. Student and temporary employees are not eligible for PAU health benefits.

Details of all plans summarized below can be found in the original plan documents located in the Business Office. All plans sponsored by PAU are subject to change at any time, with or without notice. Furthermore, the original plan documents are subject to change at any time, with or without

notice. Whenever there is a discrepancy between the summary descriptions below and the original plan documents, the latter will always prevail.

Employees do not earn benefits, unless otherwise stated, during an unpaid leave of absence or unpaid suspension.

Group Health Insurance

Health insurance premium increases in excess of the annual Consumer Price Index (CPI) will be a payroll deduction for each covered employee.

Employees who have alternative health care coverage may elect to waive health coverage. A Health Insurance Waiver Form, available in the business Office, should be completed by the employee and must indicate that he/she is covered by another medical carrier and is electing to waive PAU health coverage. Employees will receive a monthly stipend in consideration for the waiver.

Medical Coverage

PAU has contracted with two HMOs: Kaiser and Blue Shield. The open enrollment periods) when an employee may elect or change his/her insurance carrier) are as follows: (1) within 31 days after the first day of regular employment; (2) after a divorce when an employee has been covered by his/her spouse's insurance carrier; or (3) during the "open enrollment month."

Open enrollment month is October for Kaiser and Blue Shield. The benefits period begins on November 1. Prior to undergoing treatment, an employee should verify eligibility for coverage. Questions about medical benefit eligibility should be directed to the PAU Business Office or the HMO account representative.

Dental Coverage

As of the time of this publication, PAU has contracted with Assurant for dental coverage. Dental claim forms are available in the Business Office. As benefits providers change from time to time, please see the Business Office for the most current information.

Flexible Spending Accounts/Cafeteria Plan

The Plan allows eligible employees to use pre-tax dollars to pay for medical, dental, health insurance, dependent day-care, group term life insurance, or long term disability insurance.

To participate in the Plan, the Election Form must be completed by September 30 for the following year. Each area of coverage (medical, insurance, dependent care) requires a separate contribution. The total allowable contribution per year is \$500 per month or \$6,000 per year. The Plan year starts October 1 and ends September 30.

To be in compliance with the Internal Revenue Code (IRS), this is a "use it or lose it" plan. Monies not spent by the end of the Plan year will be lost. This, it is very important that participants estimate their contribution using conservative assumptions.

Participation in the Plan is made by equal payroll deductions. All records are kept separate and confidential.

Long-Term Disability Insurance

PAU has currently contracted with TIAA to provide long term disability income benefits for eligible employees. Monthly income benefits, which are subject to federal and state taxes, are paid to employees after 6 months of continuous total disability and until age 65 (providing benefits commenced prior to age 60). No benefits are paid if the total disability was caused by a pre-exiting condition, a self-inflicted injury, or an act of war. Please see the Business Office for a more comprehensive description of long-term disability income benefits.

O. RETIREMENT BENEFITS—403(b) PLAN

For eligible employees who have completed three consecutive months of service, PAU has established a Defined Contribution Retirement Plan under the Internal Revenue Code, Section 403(b). PAU contributes 5% of an eligible employee's current base salary (not including overtime, governance or other contracted pay) into a TIAA/CREF Basic Retirement Plan.

Additionally, eligible employees may elect to contribute a portion of their compensation to the Plan as pre-tax deferral. TIAA will provide a report of the maximum allowable contribution. Please see the Business Office for a more detailed description of the Plan and a copy of the application form.

P. COBRA

Continuation of Health Insurance Benefits under COBRA

On April 7, 1986, Congress enacted the Consolidated Omnibus Budget Reconciliation Act of 1986 (COBRA), which requires that most employers sponsoring group health plans offer employees and their families the opportunity for temporary extension of health coverage (called "continuation coverage") at group rates in certain instances where coverage under the plan would otherwise end.

The following continuation of coverage rules apply to benefits under PAU's Medical and Dental Plans (the "Plans").

Employees have the right to choose this continuation coverage if they lose employer paid health insurance coverage due to a reduction in your hours of employment or the termination of employment for reasons other than gross misconduct.

An employee's spouse, covered by one of our health plans, has the right to choose COBRA continuation coverage for any of the following reasons:

- Death of the employee;
- A termination of the employee's employment (for reasons other than gross misconduct) or reduction in hours of employment with PAU;

- Divorce or legal separation from the employee; or
- Your spouse becoming entitled to Medicare benefits.

A dependent child of an employee covered by the Plans at the time coverage is lost has the right to COBRA continuation coverage in his or her own right if coverage is lost for any of the following five reasons:

- The death of the employee;
- The termination of the employee's employment (for reasons other than gross misconduct) or reduction in the employee's hours of employment with PAU;
- The employee's divorce or legal separation;
- The employee becoming entitled to Medicare benefits; or
- The dependent child ceasing to be a "dependent child" under the Plans.

Notice Duties

Under COBRA, the employee or a family member has the responsibility to inform the Plan Administrator of a divorce, legal separation, or a child losing dependent status under the Plans. This notice must be given to the Plan Administrator no later than 60 days after the date coverage would be lost under the Plan because of the occurrence of the applicable event. If you fail to give this notice during the 60-day period, you will not be able to elect continuation coverage. PAU has the responsibility to notify the Plan Administrator of the employee's death, termination of employment or reduction in hours, or Medicare entitlement.

COBRA continuation coverage rights may also apply in some cases to certain retirees, spouses, and dependent children, if PAU begins a bankruptcy proceeding and these individuals lose coverage.

When the Plan Administrator is notified that one of these events has happened, he or she will in turn notify you that you have the right to choose continuation coverage. Under COBRA, you must elect COBRA coverage within 60 days after Plan coverage ends or, if later, within 60 days after you receive notice of your right to elect continuation coverage. If you do not elect continuation coverage within this 60-day period, you will permanently lose your right to elect continuation coverage.

Notice to the Plan Administrator must be in writing and must be hand-delivered or mailed via first class mail.

A newborn or newly adopted child of the employee may be added to COBRA coverage during a period of COBRA continuation coverage in accordance with the terms of the Plans by notifying the Plan Administrator in writing.

Duration of Continuation Coverage

If you do not choose continuation coverage, your coverage under the Plans will end.

If you choose continuation coverage, PAU is required to provide you coverage which, as of the time coverage is being provided, is identical to the coverage under the Plans of similarly situated non-

COBRA beneficiaries. COBRA requires that a spouse and dependent children be afforded the opportunity to maintain continuation coverage for 36 months, unless Plan coverage is lost because of a termination of employment or reduction in hours. In that case, the required continuation coverage period is 18 months*. For a spouse or dependent child, the 18-month period may be extended to 36 months from the original termination or reduction of hours if there is a death, divorce, separation or Medicare entitlement of the employee during the original 18-month period or if a child loses dependent status during the period.

COBRA provides that continuation coverage may be cut short for any of the following reasons:

- PAU no longer provides coverage to any of its employees;
- The premium for continuation coverage is not paid;
- A covered person becomes covered after the date of the COBRA election under another group health plan that does not contain any exclusion or limitation with respect to a pre-existing condition the person has, or that contains exclusions or limitations with respect to pre-existing conditions that would not apply to, or be satisfied by, the person;
- A covered person extends coverage due to disability and there is a final determination that the person is no longer disabled; or
- A covered person becomes entitled to Medicare benefits after the date of the COBRA election.

Special 29-Month Period of Coverage in Cases of Disability

If a covered person is disabled at the time coverage ceases because of termination of employment or reduction in hours, or becomes disabled during the first 60 days of COBRA continuation coverage, he or she will be eligible to continue coverage for 29 months rather than 18 months. To be eligible for these extra 11 months of coverage, he or she must notify the Plan Administrator of the disabled status before the end of the initial 18-month period of coverage and within 60 days of the date the disabled person was determined to be disabled. For purposes of this extended period of coverage, "disability" means a disability as determined under Title II or Title XVI of the Social Security Act.

For the 19th through 29th months of coverage, the disabled person must pay 150% of the applicable premium rate. If it is determined that the disabled person is no longer disabled, the disabled person must notify the Plan Administrator within 30 days of the determination.

Other Rules

You do not have to show that you are insurable to choose COBRA continuation coverage. Continuation coverage is provided subject to your eligibility for this coverage. The Plan Administrator has the right to terminate your coverage retroactively if he or she determines you are ineligible. Under COBRA, covered persons must pay 102% (or 150% in the case of disability coverage discussed above) of the premium attributable to continuation coverage. COBRA also says that, at the end of the applicable 36-month, 18-month, or 29-month period, a covered person must be allowed to enroll in an individual conversion health plan to the extent permitted under the Plans.

* Under Cal-Cobra the length of continued coverage has been extended to 36 months.

If your domestic partner has coverage under our plan, he or she has health coverage continuation rights similar to those described above.

Q. WORKERS' COMPENSATION

If you are injured while at work, or experience an illness related to your job, you may be eligible for benefits under workers' compensation. This insurance covers the cost of medical, surgical and other treatments required to treat the injury. In addition, workers' compensation insurance provides employees with income displacement benefits, after a three calendar day waiting period, if they are unable to return to work due to the job related illness or injury. If a work-related illness or injury results in hospitalization, income displacement benefits will begin immediately.

PAU's workers' compensation carrier provides employees with a list of occupational specialists and hospital facilities they may go to for the treatment of work-related injuries or illnesses. However, employees may choose to pre-designate their personal physician to treat occupational injuries or illnesses. If you wish to pre-designate your personal physician as the treatment provider for work-related injuries, please contact the Business Office to complete a *Notice of Predesignation of Personal Physician* form.

If you are required to take a leave of absence due to a work-related injury, this leave will also count towards time off under the Family Medical Leave Act (FMLA) and California Family Rights Act (CFRA).

An employee who suffers an on-the-job injury, no matter how minor, must report the incident immediately to his or her supervisor and to the Business Office. Workers' compensation claim forms are available in the Business Office.

R. STATE DISABILITY INSURANCE (SDI)

PAU deducts the legally mandated percentage of the salary of all employees up to a specified wage base, for disability insurance under the California's State Disability Insurance plan, which is administered by the Employment Development Department (EDD). State Disability insurance may provide income displacement benefits, for non-work-related injuries, for up to 52 weeks. If approved, there will be a seven-calendar-day waiting period before income displacement benefits begin. If hospitalized, income displacement benefits will begin immediately.

State Disability Insurance benefits will be integrated with any accrued salary supplement and paid sick and vacation leave so that an employee does not receive more than the equivalent of his or her full-time salary.

For more information about SDI benefits through EDD, please contact the Business Office.

S. SOCIAL SECURITY

As an employee, you are covered by social security benefits as specified in the Federal Insurance Compensation Act. Social Security benefits are offered to provide you and your family with retirement income, and in some instances, disability and survivor's benefits. The law provides for deductions from employee wages and a matching contribution from the employer. The percentage and wage base may change from year to year by act of Congress.

T. TUITION REMISSION

As a matter of policy, PAU supports continuous learning and encourages each employee to add to their knowledge and skills, which will prepare them for more responsible assignments.

Eligible employees may be eligible for up to 100% tuition remission on courses offered at PAU. To be eligible, employees must obtain permission from their manager, must have worked for more than 6 months as a regular employee, must work more than 20 hours per week, must have been accepted as a matriculated or non-matriculated student and must fill out a tuition remission form on a timely basis. Dependents (spouses and children) of eligible employees may also be entitled to up to a 100% tuition remission.

An employee may be released from normal office hours to attend PAU classes providing he/she makes up the released hours and subject to the written approval of his/her supervisor. This benefit may or may not include non-credit courses offered through continuing education or workshop programs subject to the discretion of the instructor and the approval of the Director of Continuing Education programs.

U. HEALTH AND SAFETY

Your health, safety and well-being are of paramount concern to PAU. As employees, you are responsible for your own safety, as well as for the general safety on the premises of PAU. You can share PAU's commitment to maintaining a work environment free of hazard by remaining aware of and alert to safety risks. Your participation in PAU's efforts to maintain a safe work environment can help us eliminate injuries and reduce workplace illness.

In compliance with California law and the Occupational Safety & Health Act (OSHA), and to promote the concept of a safe workplace, PAU maintains an Injury and Illness Prevention Program (IIPP) as part of its Emergency Plan. The Emergency Plan is located in the last section of this Handbook, in Appendix C, which is entitled, "Palo Alto University Emergency Plan."

Any accident or situation that may result in the injury of students, visitors, vendors, and anyone else on the premises should immediately be reported to the Business Office Manager, June Klein at (650) 433-3849. For your own safety and the safety of others, please do not attempt to give medical aid to an injured person unless you have been trained to do so.

The Business Office Manager, June Klein, is the first point of contact for all accidents that occur on the premises of PAU. If you are injured, or you witness the injury of another employee or student while working on a PAU production or project at an off campus location, you must notify June Klein at (650) 433-3849. Call 650-329-2413 (or 9-911 from a campus phone), if the condition requires immediate medical attention.

If you are injured while at work or experience a work-related illness, you must also notify your supervisor and the Business Office Manager, June Klein. An employee who is injured on the job will usually be entitled to worker's compensation benefits. Workers' compensation forms are available at the Business Office. For more information about workers' compensation, please refer to the relevant discussion elsewhere in this handbook.

V. CAMPUS SECURITY

PAU seeks to maintain a secure workplace. Be aware of persons loitering for no apparent reason in parking areas, walkways, entrances and exits, and service areas. Report any suspicious persons or activities to security. Secure your desk or office at the end of the day. When called away from your work area for an extended length of time, do not leave valuable or personal articles in or around your workstation that may be accessible. The security of our facilities as well as the welfare of our staff, faculty and students depends upon the alertness and sensitivity of every individual to potential security risks. You should immediately notify your supervisor when unknown persons are acting in a suspicious manner in or around the facilities, or when keys or security passes are missing.

W. WORKPLACE HAZARDS

If you become aware of any workplace security hazards or identify methods of increasing security in the workplace, you should report that information to a member of the Administration (President, V.P. of Academic Affairs, the Dean of Academic Administration and Operations, and the Business Office Manager). You may also contact Facilities if you notice any immediate hazards concerning your work area or other areas on campus. If you have any questions concerning campus safety, please feel free to contact the Business Office Manager at your convenience.

X. WORKPLACE VIOLENCE

PAU has a zero-tolerance policy for acts of violence and threats of violence. Without exception, acts and threats of violence are not permitted. All such acts and threats, even those made in apparent jest, will be taken seriously, and will lead to disciplinary action, up to and including termination of employment.

Possession of weapons or dangerous materials or substances on PAU property or at a PAU-sponsored event will constitute a threat of violence.

A threat includes, but is not limited to, any indication of intent to harm a person or damage PAU

property. Threats may be direct or indirect, and they may be communicated verbally or nonverbally.

Saying or writing: “I am going to punch your lights out” would constitute a direct threat. Making written or verbal statements such as: “Do you want to see your next birthday?” or “Employees who set fire to their offices have the right idea” would constitute indirect threats. Nonverbal threats include making a hitting motion or obscene gesture. Extreme threats include the display of weapons or stalking or forcing undue attention on someone, whether romantic or hostile. Taking actions likely to cause bodily harm or property damage is an act of violence.

It is every employee’s responsibility to assist in establishing and maintaining a violence-free work environment. Therefore, you are expected and encouraged to report any incident which may be threatening to you or your co-workers or any event which you reasonably believe is threatening or violent. You should immediately report incidents involving a threat of violence or act of violence to a member of the administration (President, V.P. of Academic Affairs, the Business Office Manager). An investigation will follow and appropriate action will be taken.

Y. WHISTLEBLOWER PROTECTION

PAU has a responsibility for the stewardship of resources and the public and private support that enables it to pursue its mission. It is the intent of PAU to adhere to all laws and regulations that apply to the organization, and to observe high standards of business and personal ethics. However, intentional and unintentional violations of laws, regulations, policies, and procedures may occur, and the purpose of these guidelines is to describe the procedure for reporting and investigating suspected improper activities, as well as to protect employees from retaliation for raising such issues.

It is the responsibility of all directors, officers, and employees of PAU to comply with all relevant laws and regulations and to report violations or suspected violations in accordance with this policy.

No Retaliation

PAU and its employees will not retaliate against any director, officer, or employee who has in good faith disclosed or threatened to disclose any activity, policy, or practice of PAU that is a violation or apparent violation of law or of PAU’s policy. Employees of PAU will not interfere with the right of someone to make a protected disclosure. Any employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to, and including, termination of employment.

Reporting Violations

This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within PAU prior to seeking resolution outside the organization. Employees are encouraged to share their concerns, suggestions, and complaints with someone who can address them properly. In most cases, an employee’s supervisor is in the best position to address an area of concern. However, if you are not comfortable speaking with your supervisor or you are not

satisfied with your supervisor's response, you are encouraged to speak with the Equal Employment Opportunity Officer, the Vice President for Academic Affairs, or the President.

In the case of a retaliation or perceived retaliation, employees are encouraged to contact the Equal Employment Opportunity Officer, the Vice President for Academic Affairs, or the President

Compliance Officer

All reports of violations of policy may also be instead reported to the Compliance Officer, who is the chair of the Audit Committee of the Board of Trustees. The Compliance Officer is responsible for conducting an assessment of the complaint and keeping the Board informed of investigations. The Compliance Officer will also be responsible for dealing with cases of retaliation or suspected retaliation.

Handling of Reported Violations

All reports of violations will be kept confidential to the fullest extent possible, unless the identity must be shared in order to conduct the investigation.

Any report of a violation or suspected violation will be acknowledged and promptly assessed. If allegations have been verified or substantiated by the investigation, corrective action will be taken.

Z. DRUG-FREE WORKPLACE

PAU maintains a workplace free of drugs and alcohol pursuant to the federal Drug-Free Workplace Act of 1988 and the California Drug-Free Workplace Act of 1990.

Consistent with this policy, PAU has established the following rules about the use, possession and sale of controlled substances and alcohol by its employees. Compliance is a condition of all who wish to work or study at PAU.

1. The illegal use, sale, manufacture, dispensation, distribution or possession of controlled substances while on the job or on PAU property is prohibited and will result in disciplinary action, up to and including immediate termination of employment. Similarly, reporting for work under the influence of controlled substances is prohibited and will result in disciplinary action, up to and including termination of employment.
2. If you are arrested for a drug-related offense and are awaiting trial, you will be suspended without pay: (1) until all charges against you are dismissed; (2) until you plead guilty; or (3) until your trial results in a verdict. If you plead guilty, your employment with PAU will be terminated.
3. As a condition of employment, employees must notify PAU within five (5) days of any conviction for any violation of any criminal drug statute, where the violation occurred in the workplace. PAU must notify the federal agencies from which it has

grants within ten (10) days of receiving notice of such a conviction from an employee or some other source.

4. The illegal use of controlled substances off duty and off PAU premises is unacceptable. It can have a poor effect on your job performance. Conviction for the illegal use, sale or possession of narcotics, drugs, or controlled substances off duty or off PAU property may also result in disciplinary action, up to and including termination of employment.
5. Alcohol may not be consumed on PAU property during working hours, except for PAU-sponsored social functions. PAU policy prohibits the use of alcohol on PAU property or during working hours, as well as reporting to work under the influence of alcohol. Violation of this policy will result in disciplinary action, up to and including termination of employment. The only exceptions to this policy are those occasions when we hold a social gathering, and alcoholic beverages are provided. However, in this situation, your consumption of alcohol should be reasonable under the circumstances, and you are expected to comply with our rules prohibiting unlawful sexual harassment and other forms of unlawful harassment. Otherwise, drinking during meal breaks or at any other time while on duty is inappropriate.
6. Managers and supervisors should be attentive to the performance and conduct of those who work with them and should not permit an employee to work in an impaired condition or otherwise in violation of this policy. When management has reasonable suspicion to believe that an employee is working in violation of this policy, prompt action will be taken.
7. The legal use of controlled substances, such as prescription drugs prescribed by a licensed physician or over-the-counter medications that you buy at the store, is not prohibited by this policy. However, if you cannot safely perform all of the essential functions of your job because you are taking prescription or over-the-counter medicine, PAU may require you to see a doctor, at PAU's expense. You may be discharged or required to take a leave of absence if the doctor concludes that you cannot safely perform the essential functions of your position because you are using prescription or over-the-counter medicine.
8. Before an employee engages in misconduct or other unacceptable acts, upon request, PAU will attempt to reasonably accommodate by a leave of absence for an employee who wishes to voluntarily enter and participate in an alcohol or drug rehabilitation program.
9. It is the responsibility of an employee to seek help before his or her alcohol or controlled substances problems cause job performance, misconduct or lead to disciplinary action. An employee's decision to seek assistance will not be used as the basis of discipline.

10. Every employee must specifically acknowledge receipt of this policy and agree, as a condition of employment, to abide by its terms.

Non-Smoking Environment

Smoking is prohibited in the University buildings and within 20 feet of main PAU entrances, exits and operable windows.

AA. NEPOTISM

It is the policy of PAU to hire the best-qualified candidates and to avoid conflicts of interest in hiring or promoting employees. A family member may not be employed in a position of University employment within the same organizational unit. A supervisor shall never recommend or approve any employment-related action for any employee who is a member of his/her immediate family as defined in this policy. A close personal relationship shall be treated as if it were such a family relationship if it includes a sexual or romantic relationship or a similarly close personal relationship engaged in outside the University.

BB. PERSONNEL RECORDS

PAU keeps an official personnel file on each employee, which is kept in locked cabinets accessible only to Business Office employees, and members of the administration. The contents of your file, except for letters of reference and other limited categories of information, are open to your inspection, and you may obtain copies of certain file contents. You may request to inspect your file during PAU's normal business hours. All inspections will be monitored by an authorized PAU employee. You may not remove any document from your file.

Your personnel file will not contain any medical information about you. Any medical information about you that PAU may obtain will be collected and maintained in separate files and treated, at all times, as confidential information. Medical information may be disclosed in only very limited circumstances.

There are only limited circumstances in which PAU will release information contained in your personnel records to persons outside PAU. These circumstances are:

- In response to a subpoena, court order, or the order of an administrative agency;
- To a governmental agency as part of an investigation by that agency of PAU's compliance with applicable law;
- In a lawsuit, arbitration, or administrative proceeding in which you and PAU are parties;
- In a workers' compensation proceeding;
- To administer employee benefit plans; to a health care provider; to first aid or safety personnel,

when necessary but only to the extent that you provide a written release authorizing release of information;

- To a prospective employer or other person requesting a verification of your employment, but only to the extent that either: (a) you provide a written release authorizing release of information, or (b) the verification includes only the dates of your employment, your last (or present) job title, and the fact of your employment; and
- You should advise the Business Office of any personal changes such as changes in your name, address, telephone number, marital status or number of dependents so that our records and your employee benefits can be kept up to date.

Right to Records Inspection

Employees and former employees have the right to inspect copies of their own payroll records and official personnel file. All requests must be submitted in writing to the Business Office. Requests will be honored within twenty-one (21) days from the date they are received.

CC. CONFIDENTIAL INFORMATION

Employment at PAU means that at times, the employee has access to and becomes acquainted with information of a highly confidential, proprietary or legally private nature, for example: student education records; client/patient information; personnel information regarding employees of PAU; medical information of employees or students of PAU; health, disability, retirement and other insurance claims information; legal matters on which the University may or may not be working with its attorney; considerations for changes in policies, practices, salaries or benefits; job vacancies or other employment information before it becomes “public” on the campus; etc. (any or all herein called “confidential information”).

Each employee must never disclose any confidential information, directly or indirectly, or use it in any way, either during the terms of employment or at any time thereafter, except as required by an officer of PAU and strictly as required to perform the duties of the job position. Upon request, any employee must execute a written agreement to these effects; however, this policy is binding without such additional written agreement.

DD. ELECTRONIC COMMUNICATIONS

PAU has established this Internet, e-mail, and electronic communications policy in an effort to make certain that employees utilize electronic communications devices in a legal, ethical and appropriate manner.

Every employee of PAU is subject to this policy and is expected to read, understand and comply fully with its provisions.

Violation of this policy is a serious matter, and may result in disciplinary action, up to and including immediate termination of employment.

Management's Right to Access Information

PAU has installed the e-mail, voicemail and computer network systems, and Internet access to facilitate business communication. You have individual passwords to access these systems to prevent unauthorized access to information. However, passwords do not confer any right of privacy, as these systems belong to PAU. These systems may be subject to periodic unannounced inspection and should be treated like other shared filing systems.

Personal Use

Occasional and incidental personal use of the e-mail, computer systems and Internet is allowed if it does not interfere with your work and does not violate any other PAU policy.

Harassment and Discrimination

Employees may not use our e-mail, voicemail, computer network or Internet access for storing, transmitting, or receiving any information that may be seen by others as discriminatory or harassing in any way. As set forth more fully in our policies prohibiting discrimination and harassment, PAU does not tolerate discrimination or harassment based on sex (including gender, pregnancy, and childbirth or related medical conditions), race, color, religion, national origin, ancestry, age, physical disability, mental disability, medical condition, marital status, sexual orientation, gender identification, family care or medical leave status, veteran status or any other characteristic protected by State and federal law or local ordinance.

Examples of forbidden transmission include sexually explicit photographs, messages, cartoons or jokes, unwelcome propositions or love letters, and ethnic or racial slurs.

Solicitation

You may not use our e-mail or Internet access to solicit or proselytize others for commercial ventures, religious or personal causes, outside organization, or other similar, non-job-related matter.

Copyright Laws

You may not use PAU's computer network or Internet access to copy, retrieve, forward or send copyrighted materials unless you have the author's permission or you are accessing a single copy only for your own purposes. The placement of material on the Internet does not waive copyrights in the material. Copyright laws give the copyright owner the exclusive right to reproduce, distribute, modify, publicly perform, and publicly display the material.

Downloading Unauthorized Software

All software in use on PAU's computers is officially licensed software. No software may be loaded, installed or used, by any means of transmission that has not been duly paid for and licensed appropriately for the use to which it is being put. In addition, you may not download or install

software obtained from the Internet or from computers or networks that do not belong to PAU, even though the software may be “free.”

EE. EXPENSE REIMBURSEMENT

PAU will reimburse employees for reasonable out-of-pocket expenses incurred for authorized business-related purposes, including: meals, lodging, transportation, supplies and services. Your supervisor must approve all PAU-related travel and purchases in advance. PAU will reimburse mileage driven on your personal automobile for work-related purposes up to the current IRS approved rate per mile. Tolls and parking will also be reimbursed. PAU will not reimburse you for ordinary commute mileage or travel expenses.

You should complete expense reimbursement reports within 30 days of incurring the expense and submit the receipts to Accounts Payable.

FF. AUTO DAMAGES

PAU is not responsible for any damage to an employee-owned vehicle that occurs while the employee is conducting University business. PAU recommends that employees obtain insurance coverage for damage to their vehicle through their own private insurance. The automobile liability insurance coverage provided by PAU covers only the amount in excess of the limits of the employee’s own private insurance coverage.

APPENDIX C – DEPARTMENT OF FAIR EMPLOYMENT AND HOUSING (DFEH)



The definition of sexual harassment includes many forms of offensive behavior.

- such as a lead, supervisor, manager or agent;
- the employer had no knowledge of the harassment;
- there was a program to prevent harassment; and
- once aware of any harassment, the employer took immediate and appropriate corrective action to stop the harassment.

Filing a Complaint

Employees or job applicants who believe that they have been sexually harassed may file a complaint of discrimination with DFEH within **one year** of the harassment.

DFEH serves as a neutral fact-finder and attempts to help the parties voluntarily resolve disputes. If DFEH finds sufficient evidence to establish that discrimination occurred and settlement efforts fail, the Department may file a formal accusation. The accusation will lead to either a public hearing before the Fair Employment and Housing Commission or a lawsuit filed by DFEH on behalf of the complaining party.

If the Commission finds that discrimination has occurred, it can order remedies including:

- Fines or damages for emotional distress from each employer or person found to have violated the law
- Hiring or reinstatement
- Back pay or promotion
- Changes in the policies or practices of the involved employer

Employees can also pursue the matter through a private lawsuit in civil court after a complaint has been filed with DFEH and a Right-to-Sue Notice has been issued.

For more information, see publication DFEH-159 "Guide for Complainants and Respondents."

For more information, contact DFEH toll free at **(800) 884-1684** Sacramento area & out-of-state at **(916) 478-7200** TTY number at **(800) 700-2320** or visit our Web site at www.dfeh.ca.gov

In accordance with the California Government Code and ADA requirements, this publication can be made available in Braille, large print, computer disk, or tape cassette as a disability-related reasonable accommodation for an individual with a disability. To discuss how to receive a copy of this publication in an alternative format, please contact DFEH at the numbers above.



State of California
Department of Fair Employment & Housing

DFEH-159-11/07



Department of Fair Employment and Housing

Sexual Harassment

The Facts About Sexual Harassment

The *Fair Employment and Housing Act* (FEHA) defines sexual harassment as harassment based on sex or of a sexual nature; gender harassment; and harassment based on pregnancy, childbirth, or related medical conditions. The definition of sexual harassment includes many forms of offensive behavior, including harassment of a person of the same gender as the harasser. The following is a partial list of types of sexual harassment:

- Unwanted sexual advances
- Offering employment benefits in exchange for sexual favors
- Actual or threatened retaliation
- Leering; making sexual gestures; or displaying sexually suggestive objects, pictures, cartoons, or posters
- Making or using derogatory comments, epithets, slurs, or jokes
- Sexual comments including graphic comments about an individual's body; sexually degrading words used to describe an individual; or suggestive or obscene letters, notes, or invitations
- Physical touching or assault, as well as impeding or blocking movements

APPENDIX D – DFEH Poster (cont.)



The mission of the Department of Fair Employment and Housing is to protect the people of California from unlawful discrimination in employment, housing and public accommodations, and from the perpetration of acts of hate violence.

Employers' Obligations

All employers must take the following actions against harassment:

- Take all reasonable steps to prevent discrimination and harassment from occurring. If harassment does occur, take effective action to stop any further harassment and to correct any effects of the harassment.
- Develop and implement a sexual harassment prevention policy with a procedure for employees to make complaints and for the employer to investigate complaints. Policies should include provisions to:
 - Fully inform the complainant of his/her rights and any obligations to secure those rights.
 - Fully and effectively investigate. The investigation must be thorough, objective, and complete. Anyone with information regarding the matter should be interviewed. A determination must be made and the results communicated to the complainant, to the alleged harasser and, as appropriate, to all others directly concerned.
 - Take prompt and effective corrective action if the harassment allegations are proven. The employer must take appropriate action to stop the harassment and ensure it will not continue. The employer must also communicate to the com-

plaintain that action has been taken to stop the harassment from recurring. Finally, appropriate steps must be taken to remedy the complainant's damages, if any.

- Post the Department of Fair Employment and Housing (DFEH) employment poster (DFEH - 162) in the workplace (available through the DFEH publications line [916] 478-7201 or Web site).
- Distribute an information sheet on sexual harassment to all employees. An employer may either distribute this pamphlet (DFEH 185) or develop an equivalent document that meets the requirements of Government Code section 12950(b). This pamphlet may be duplicated in any quantity. **However, this pamphlet is not to be used in place of a sexual harassment prevention policy, which all employers are required to have.**

- All employees should be made aware of the seriousness of violations of the sexual harassment policy and must be cautioned against using peer pressure to discourage harassment victims from complaining.
- Employers who do business in California and employ 50 or more part-time or full-time employees must provide at least two hours of sexual harassment training every two years to each supervisory employee and to all new supervisory employees within six months of their assumption of a supervisory position.

- A program to eliminate sexual harassment from the workplace is not only required by law, but is the most practical way for an employer to avoid or limit liability if harassment should occur despite preventive efforts.

Employer Liability

All employers, regardless of the number of employees, are covered by the harassment section of the FEHA.

Employers are generally liable for harassment by their supervisors or agents. Harassers, including both supervisory and non-supervisory personnel, may be held personally liable for harassing an employee or coworker or for aiding and abetting harassment.

Additionally, the law requires employers to take "all reasonable steps to prevent harassment from occurring." If an employer has failed to take such preventive measures, that employer can be held liable for the harassment. A victim may be entitled to damages, even though no employment opportunity has been denied and there is no actual loss of pay or benefits.

In addition, if an employer knows or should have known that a **non-employee** (e.g. client or customer) has sexually harassed an employee, applicant, or person providing services for the employer and fails to take immediate and appropriate corrective action, the employer may be held liable for the actions of the non-employee.

- An employer might avoid liability if
- the harasser is not in a position of authority,