



UNIVERSITY OF MICHIGAN
SCHOOL OF MUSIC, THEATRE & DANCE
POLICIES AND PROCEDURES
Faculty Handbook
October 2022

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Message From the Dean

The University of Michigan School of Music, Theatre & Dance has a number of regulations governing the actions of a large and diverse community of artists and scholars. Some of these have been developed by the University's central administration, some by the School of Music, Theatre & Dance dean, some by the School's Executive Committee, some by various other faculty committees, and others by the faculty as a whole, depending upon the purview and authority of the source and the matter considered.

The faculty handbook includes only the regulations, currently in force, which govern principal procedures or outline major policies of concern to the entire faculty. The faculty handbook does not include every guideline by which the School conducts its affairs.

By assembling these documents in a convenient reference, it is hoped that decisions and initiatives of the faculty can be realized based on a clear understanding of the procedures for achieving those ends.

A handwritten signature in black ink, appearing to read 'David Gier', with a stylized, cursive script.

David Gier, Dean
Paul Boylan Collegiate Professor of Music

August 2021 (updated)

School of Music, Theatre & Dance

Mission Statement

It is the mission of the University of Michigan School of Music, Theatre & Dance to create an environment of educational and artistic excellence by nurturing creativity, academic integrity, and professionalism in its faculty and students.

As a comprehensive performing arts school set in one of the world's finest public institutions of higher education, the School is deeply engaged in the creation, practice, scholarship, and pedagogy of music, theatre, and dance. We aim to provide leadership, nationally and internationally, in all three fields. We assert and celebrate the value of the arts to the mission of the University of Michigan. We serve the community, the region, and the State of Michigan through public performances, cultural resources, arts education, and outreach programs.

The School's mission is predicated on the belief that the study and practice of the performing arts depend upon a diverse community of learning in which a spirit of social responsibility and principled entrepreneurship is fostered.

(July 21, 2008)

1.
ACADEMIC RANKS
CLASSIFICATION OF INSTRUCTIONAL STAFF

I. Regular Instructional Staff

A. Assistant Professor

The title of assistant professor is given to a person of proven ability and acceptable experience who holds a doctoral degree or its equivalent in professional experience and who has demonstrated special ability as a teacher and as a performer, conductor, composer, choreographer, scholar, actor, director, designer, or clinician. The appointment may be for up to three years. If the appointment is a “tenure track appointment,” a formal third-year review must be undertaken by the department in the third-year and a review for promotion and tenure must be undertaken in the sixth-year of the appointment. *See Promotion and Tenure Guidelines for further information.*

B. Associate Professor

The title of associate professor is given to a person who has met the requirements for appointment as an assistant professor and who has established (1) an unequivocal record of excellence in teaching, (2) a distinguished record of creative or professional activity or research, (3) a satisfactory record of service, and (4) a reputation among his or her peers as an outstanding performer, conductor, composer, choreographer, scholar, actor, director, designer, or clinician. The appointment will carry tenure automatically unless otherwise specified. An individual appointed from outside the University of Michigan will normally be appointed without tenure, will receive a review in the third-year of the appointment, and may be reappointed without tenure for a total of up to seven years. Tenure review may take place in the sixth or seventh-year of the appointment, or sooner upon recommendation of the chair, dean, and Executive Committee and with agreement of the candidate. *See Promotion and Tenure Guidelines for further information.*

C. Professor

The title of professor is given to a person who has met the requirements for appointment as an associate professor and who has established (1) a sustained and unequivocal record of excellence in teaching, including work with advanced students, (2) a sustained and distinguished record of creative or professional activity or research, (3) a satisfactory record of service, and (4) a reputation among his or her peers throughout the nation as an outstanding performer, conductor, composer, choreographer, scholar, actor, director, designer, or clinician. The appointment will carry tenure automatically, except that an individual appointed from outside the University of Michigan may be appointed without tenure and may be reappointed without tenure for a total of up to seven years.

D. Instructor

The title of instructor is given to a person who holds a doctorate or its equivalent in professional experience, or who has completed a major part of the work toward a doctorate, and has shown evidence of special ability as a teacher or scholar and as a performer, conductor, composer, choreographer, actor, director, or designer. Appointments are made either for one term or, in the case of persons of proven ability, for not more than two years. Appointments are without tenure. They shall be appointed by the President upon recommendation by the dean and Executive Committee.

E. Lecturer

Lecturer and Adjunct Titles. The terms and conditions of employment in the titles of Lecturer (all ranks) and the Adjunct series (all ranks) are governed by a collective bargaining agreement between the University of Michigan and the Lecturers' Employee Organization (LEO). Please contact SMTD HR for assistance.

II. Supplemental Instructional Staff

A. Adjunct Professor, Adjunct Associate Professor, Adjunct Assistant Professor

Lecturer and Adjunct Titles. The terms and conditions of employment in the titles of Lecturer (all ranks) and the Adjunct series (all ranks) are governed by a collective bargaining agreement between the University of Michigan and the Lecturers' Employee Organization (LEO). Please contact SMTD HR for assistance.

B. Adjunct Lecturer

Lecturer and Adjunct Titles. The terms and conditions of employment in the titles of Lecturer (all ranks) and the Adjunct series (all ranks) are governed by a collective bargaining agreement between the University of Michigan and the Lecturers' Employee Organization (LEO). Please contact SMTD HR for assistance.

C. Clinical Instructional Staff [Board of Regents Bylaws 5.23 and 5.01] -An academic unit may be authorized to appoint clinical instructional staff to support its instructional program only if a policy authorizing such appointments has been adopted by the school, college, or division in accordance with the bylaws of that unit and appointed by the President, upon recommendation of the appropriate dean. Clinical appointments are at appointment fractions of 50% or higher and are without tenure. The following titles may be used for clinical appointments: clinical professor, clinical associate professor, and clinical assistant professor. Appointments to the clinical track are for a fixed term, cannot exceed seven years in duration, and may be renewed. Further definition of the rights and responsibilities of clinical faculty, not inconsistent with the Bylaws of the Board of Regents, may be addressed by the bylaws of the academic units. Clinical instructional staff appointments may not encompass more than ten (10) percent of the total regular instructional staff, and guidelines for making new clinical instructional staff appointments are the same as for regular instructional

appointments at the associate professor and professor level (see **Faculty Appointments**). **Appointment, reappointment, and promotion criteria shall be consistent with those for the regular instructional staff to the extent applicable.** In accordance with University policies and procedures, (1) clinical instructional staff may be reviewed for promotion if all relevant parties are in agreement and the appointment remains at 50% or more; or (2) clinical instructional staff may be reviewed for reappointment at their current rank. Clinical instructional staff in the School will enjoy exactly the same governance and voting privileges as apply to faculty members currently. Clinical track faculty in the School **ARE NOT ELIGIBLE FOR SABBATICALS**, but a Scholarly Activity Leave (with or without salary) may be granted upon recommendation of the chair/director and dean and approval by the Executive Committee. **(The School's recommendation was approved by the Board of Regents in May 1998.)**

D. Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor, Visiting Lecturer

The term “visiting” is used for persons primarily identified with another institution of higher education who assume some teaching responsibility at the University of Michigan and for persons whose employment with the University will be explicitly temporary. The specific conditions of all these appointments are determined by each school and college, **but these appointments are for one year or less** and may be extended only under very unusual circumstances at the request of the dean and submitted to Academic Human Resources and Affirmative Action, who will confer with the Provost before granting approval. They are not tenure-track appointments. (SPG 201.34-1)

2.
PROMOTION AND TENURE REVIEW POLICY
Approved by the Governing Faculty, December 14, 2006

These criteria and procedures shall serve as guidelines for the dean and the Executive Committee of the School of Music, Theatre & Dance in making recommendations for appointment to the faculty, for promotion, and for tenure. It is the policy of the School that the faculty shall consist of the most highly qualified persons obtainable. Nothing in these guidelines shall be construed to prevent the dean and the Executive Committee from acting, within the Regents' Bylaws and University policies, in pursuit of this objective.

This document is based in part on the regulations and policies stated in The University of Michigan Faculty Handbook, the Standard Practice Guide, the Regents' Bylaws, and policy directives of the Provost and Executive Vice President for Academic Affairs. These sources should be consulted for additional pertinent regulations and for more complete information concerning the policies discussed here.

The instructional-track appointment must be "full-time" within the University, which means an academic year or academic term appointment fraction of 80% or more as recorded in the official notice of appointment. The appointment may be split between two or more instructional-track appointments as long as the total effort is at least 80%. ([SPG 201.13](#))

An explanation of the academic ranks and conferral of tenure follows.

A. **Assistant Professor**

Review for promotion from instructor to assistant professor will normally occur during the third year of service and must occur not later than the fourth year. Review prior to the third year of service can be undertaken only with the approval of the department chair, dean, and Executive Committee. No review shall be conducted for a person on terminal notice. An instructor not recommended for promotion, following review, shall not be reappointed.

B. **Associate Professor**

Review for promotion from assistant professor to associate professor will normally occur during the sixth year of combined service as an instructor and an assistant professor at the University of Michigan. Time on leave will count unless exempted in writing before the leave. Review prior to the sixth year of combined service can be undertaken only with the approval of the department chair, dean, and Executive Committee. No review shall be conducted for a person on terminal service. An assistant professor not recommended for promotion following review will not be reappointed.

C. **Professor**

Review for promotion from associate professor to full professor is not automatic. Review prior to the sixth year of service as an associate professor can be undertaken only with the approval of the department chair, dean, and Executive Committee and in concurrence with the associate professor. The Executive Committee shall identify associate professors in their eighth year of service who have not been reviewed for promotion to professor. Their

professional profiles will be discussed with department chairs during the annual review for merit.

D. **Conferral of Tenure**

The future distinction of the School and the University depends in large part upon the quality of the judgment exercised in making tenure decisions. For this reason, and because the awarding of tenure represents a commitment of substantial resources on the part of the University, each such recommendation will be made with the greatest possible care and will be the result of thorough and rigorous scrutiny of all relevant information. Each review for appointment or promotion to the rank of associate professor or professor with tenure shall be conducted with the same care and thoroughness, and shall be based on the same criteria as a review for tenure. Each untenured member of the faculty must be reviewed for tenure not later than his or her sixth year of service at the University of Michigan excluding service as a lecturer, adjunct faculty member, or visiting faculty member.

The objectives and needs of the School are subject to change from time-to-time, and an excessively high proportion of tenured faculty members impede significantly the ability of the School to respond to necessary changes in curriculum or emphasis. Financial constraints and a wide variety of other factors also affect tenure decisions. It is quite possible, and in some instances likely, that persons with excellent records of teaching, research, and professional activity may not, for reasons unrelated to their own adequacy or inadequacy, be recommended for tenure.

Appointment or promotion to untenured ranks may be based largely upon the potential of the individual for future achievement. However, the extended commitment implied by the granting of tenure requires not only the potential for future achievement but also a firm record of past achievement. It is expected that each person awarded tenure, whether through promotion or appointment from outside the University, will be the most highly qualified person available for the position in terms of teaching ability, professional activity or research, professional stature, and service. It is further expected that each such person will show clear evidence of the ability to achieve the rank of professor.

On an annual basis, the provost and senior vice president for academic affairs, in conjunction with the president and board of regents, provides all units at the University of Michigan with **Promotion Guidelines and Procedures**. Faculty will be notified annually when it is received and where it may be located on the University's webpage. Upon request, candidates, chairs, and directors will be provided with a copy of the document. Although a small portion of the contents may change from year-to-year, recommendations for promotion and for tenure will generally be based on the record of the faculty member in the following categories.

[Provost's Annual Promotion Guidelines - Teaching. *Essential qualifications for appointment or promotion are character and the ability to teach, whether at the undergraduate or the graduate level. Some of the elements to be evaluated are experience, knowledge of subject matter, skill in presentation, interest in students, ability to stimulate youthful minds, capacity for cooperation, and enthusiastic devotion to teaching. The responsibility of the teacher as a guide and friend properly extends beyond the walls of the classroom into other phases of the life of the student as a member of the University community. It also involves the duty of initiating and improving educational methods both within and outside the*

departments.] (*Refer to Office of the Provost website for current guidelines: www.provost.umich.edu/faculty/promotion_guidelines*)

Teaching represents the most important single function of the School. It is expected that each member of the faculty will excel in teaching. Enthusiasm for teaching and the ability to stimulate students to achieve at the highest level possible are important attributes of the faculty member.

- A. **Teaching** - Evidence to be considered in the evaluation of teaching may include:
1. demonstrated excellence in instruction in the classroom, studio, or rehearsal hall;
 2. demonstrated ability to attract talented students to the School;
 3. demonstrated success of former students;
 4. written statements by colleagues, including the department chair;
 5. unsolicited letters from former students;
 6. teaching evaluation forms completed anonymously by students (and, when necessary to protect the student's anonymity, administered and collected by a third party), provided that the forms for an entire class are submitted and not a selected sampling;
 7. the extent to which students elect the faculty member's courses (with due regard for such matters as the level of difficulty of a course, its role in the curriculum, and whether or not it is required);
 8. knowledge of the subject matter taught, including range, depth, and currency and use of diverse repertoire and teaching techniques when appropriate (including, for example, modern technology, improvisation, contemporary music, American music, and historically informed performance practices); and
 9. development of new courses, programs, teaching materials, or teaching techniques;
 10. contributions to interdisciplinary teaching.

[Provost's Annual Promotion Guidelines - Research. *All members of the faculties must be persons of scholarly ability and attainments. Their qualifications are to be evaluated on the quality of their published and other creative work, the range and variety of their intellectual interests, their success in training graduate and professional students in scholarly methods, and their participation and leadership in professional associations and in the editing of professional journals. Attainment may be in the realm of scientific investigation, in the realm of constructive contributions, or in the realm of the creative arts.]* (*Refer to Office of the Provost website for current guidelines: www.provost.umich.edu/faculty/promotion_guidelines*)

Creative and professional activity and research may include any of a wide variety of activities, depending upon the field of specialization and the interests of the faculty member. It is expected that each member of the faculty will pursue research or professional activities appropriate to his or her field of specialization and will achieve recognition among his or her peers in one or more *such fields of activity*.

- B. **Creative and Professional Activity and Research** - Evidence to be considered in the evaluation of creative and professional activity and research may include (work in progress and commitments accepted should be so indicated):
1. publication as the author, co-author, editor, or translator of books, chapters in books, articles, reviews, monographs, and non-print materials, and reviews of these

- publications (publications subjected to substantial peer review prior to publication shall be more highly regarded than publications not subjected to such review);
2. the conduct of research contributing significantly to the state of knowledge in the faculty member's field of specialization, and publication of the results;
3. commissions for musical compositions;
4. publication of musical compositions or arrangements;
5. obtaining funds, either internal or external, for research or development or for instructional or program improvement;
6. appearances off-campus as a speaker, conductor, soloist, actor, director, designer, ensemble member, panelist, or clinician, or as a director of a workshop or institute;
7. presenting papers, speaking, participating on panels, presiding at sessions, adjudicating, performing as soloist, actor, director, designer, ensemble member, or conductor, or otherwise participating in the meetings or activities of professional associations;
8. appearances off-campus as recitalist, actor, director, designer, guest soloist, or conductor with paid professional groups or in professional (paid) settings;
9. participation in symposiums and other selective gatherings of distinguished colleagues;
10. performances by off-campus groups or individuals of compositions by the faculty member;
11. performances on commercial recordings by the faculty member or performances on commercial recordings of compositions by the faculty member;
12. service as a consultant to or on behalf of educational institutions, professional associations, or government agencies when it is clearly an honor to have been selected;
13. service as an adjudicator in major competitions when it is clearly an honor to have been selected; and
14. winning of prizes, awards, fellowships, or other recognition.

(Note: Activities for which the faculty member receives compensation will be recognized provided that when possible he or she is identified as a member of the faculty of The University of Michigan and provided that the activity serves to enhance the prestige of the School or that the activity is likely to attract talented music students to the University. See also related policies concerning outside employment, including Regents' Bylaw 5.12.)

[Provost's Annual Promotion Guidelines - Service. *The scope of the University's activities makes it appropriate for members of the staff to engage in many activities outside of the fields of teaching and research. These may include participation in committee work and other administrative tasks, counseling, clinical duties, and special training programs. The University also expects many of its staff to render extramural services to schools, to industry, to local, state, and national agencies, and to the public at large.] (Refer to Office of the Provost website for current guidelines: www.provost.umich.edu/faculty/promotion_guidelines)*

Service refers to activities that utilize the professional expertise of the faculty member. Each member of the faculty is expected to render a reasonable amount of service to the School, to the University, to the profession or to professional organizations, and to the public at large. Service is subordinate to the other two categories of activity, however, and no amount of service can compensate for a lack of skill in teaching or for a lack of professional activity or research.

- C. **Service** - Evidence to be considered in the evaluation of service may include:
1. effective service as an advisor to students;
 2. effective service as a department chair;
 3. performance of other administrative duties for the School;
 4. effective service on committees of the School and the University and participation in meetings and other official activities of the School and its departments;
 5. effective contributions to recruiting, fund-raising, or public relations efforts on behalf of the School or the University;
 6. service in elective or appointive leadership roles in professional associations at the national, international, regional, state, or local levels;
 7. appearances on campus, beyond the normal responsibilities of the faculty member, as a speaker, conductor, soloist, actor, director, designer, ensemble member, panelist, or clinician, or as a director of a workshop or institute; and
 8. utilization of the professional abilities and expertise of the faculty member without compensation or with nominal compensation on behalf of continuing education in music or in the service of government agencies, citizens' groups, educational or religious institutions, or charitable organizations at the local, state, national, or international levels.

It is not expected that a faculty member will engage in all of the activities listed under any category. Neither is it expected that a faculty member will be equally active in each of the three categories. The question of what constitutes an appropriate balance of activities for a given faculty member should be discussed with the department chair and the dean. Each individual case will be considered on its own merits. The quality of the contributions is of greater importance than the quantity.

Full recognition, both in evaluating tenure and promotion cases, will be given for a broad range of entrepreneurial, outreach and creative activities in which faculty engage. These activities may enhance any of the criteria on which faculty are measured - teaching, research and service. They may include involvement with other sectors of a sort that has not traditionally been considered in faculty evaluations, or they may include creative activity that does not take the form of traditional scholarship. Examples are:

- creating service learning and action-based learning opportunities for students,
- creating new instructional methods,
- engaging in community-based research,
- engaging in research funded by industrial, non-profit, or other non-federal or foundation sources,
- creating a start-up company that enhances the broader scholarly, public service, or health care missions of the University,
- engaging in creative performance,
- creating new or enhanced practices, products or services,
- working with the Office of Technology Transfer to patent or license an invention,
- encouraging and instructing students in entrepreneurial and public service activities,
- developing collaborative approaches to solving complex world problems.

Such activities strengthen the University and should be considered as contributions worthy of consideration, both at times of tenure and promotion and on an annual basis.

Each candidate and chair/director is expected to work together to provide the Executive Committee with all requested documentation. The chair is also expected to confer and work with all tenured members of the department in (a) compiling the list of external reviewers; and (b) contacting those external reviewers. **All proposed external reviewers must be approved by the Dean before they are contacted.** Important: Dossiers are made available to the reviewers during the first two weeks of June. Due date for return of external assessment letters is September 1. All letters must be on letterhead stationery and signed.

For a review involving promotion and/or tenure, the dean will seek, in accordance with established University policies, confidential written statements concerning the work of the faculty member from all of the persons in the appropriate rank whose names are submitted by the faculty member and by the departmental chair. This procedure is also be used for the review of a candidate being hired from outside the School into a tenured faculty position in the School.

In addition, the dean will seek confidential written statements concerning the work of the faculty member from each tenured member of all departments in which the candidate teaches or holds an appointment, and, at the option of the Dean, from any other persons qualified to contribute relevant information. A copy of each candidate's promotion dossier will be maintained in the Dean's Office and, upon request, may be reviewed by relevant individuals. Note: Promotion dossiers include all documentation provided by the candidate but will not include copies of external or internal letters of assessment, or student letters.

If the case warrants it, and if the dean, department chair, and candidate agree, a special committee may be appointed to take responsibility for reading and discussing fully and carefully the major publications, the artistic endeavors of the candidate, his/her teaching and research statements, and the record of his/her work as indicated by the curriculum vitae. This committee shall then forward to the Executive Committee a written, objective analysis of the candidate's application.

At the discretion of the Executive Committee, a faculty member familiar with the candidate's field may be invited to address the Executive Committee in order to answer questions that may arise. Selection of the representative will be by agreement between the department and the dean. This representative will be asked to leave the room before the vote of the Executive Committee.

Promotion dossiers include all documentation provided by the candidate but will not include copies of external or internal letters of assessment.

Each candidate and chair/director is expected to work together to provide the Executive Committee with all requested documentation. The chair is also expected to confer and work with all tenured members of the department in (a) compiling the list of external reviewers; and (b) contacting those external reviewers. **All proposed external reviewers must be approved by the Dean before they are contacted.** Important: Dossiers are made available to the reviewers during the first two weeks of June. Due date for return of external assessment letters is September 1. All letters must be on letterhead stationery and signed.

Executive Committee Procedures for Deliberating and Voting on Promotions/Conferral of Tenure

First available agenda after **September 15**. Elected and *ex officio* members of EC begin reviews of promotional files.

A review of a promotional case will follow a motion made and seconded. After discussion, and as a procedure *pro forma*, an elected member may make an incidental motion (with second) to commit the matter to an executive session of the Committee. It is understood that this executive session, which will be scheduled toward the end of the fall term, will involve only elected members and the Dean. At that time, all promotional cases may be discussed and final votes taken. Prior to the executive session, the Dean may discuss concerns raised during the reviews with individual candidates, their department chairs, and/or other interested faculty, such as mentors previously appointed by the Committee.

Review for Promotion or Tenure

Review for promotion to any rank or for tenure may be undertaken at the initiative of the dean, the department chair, or the faculty member. However, tenure-track assistant professors are generally reviewed in the sixth year of their appointment, and associate professors, without tenure, are generally reviewed one year before their contract expires.

1. For faculty who are not following a predetermined review schedule, the deadline for requesting/recommending a review for promotion and/or tenure shall be no later than **September 1** of the **preceding** academic year.
2. The faculty member seeking review should submit a **written request** to the department chair, with a copy to the dean.
3. The department chair will meet with the faculty member to review the promotion and/or tenure guidelines. If the chair and faculty member agree on moving forward, the chair will submit a **written recommendation** to the Dean.
4. The dean will submit the request to the School Executive Committee for review and action. The Executive Committee will provide its decision in writing to both the candidate and chair.

A. Information from the Chair/Director

1. **Summary Cover Memorandum** (*NOTE: This paragraph pertains only to the Departments of Theatre and Drama and Dance*).

This assessment should be written from an evaluative, not an advocacy, perspective and should present a balanced summary of the case. The information that should be addressed includes:

- (a) years in rank for the current appointment
- (b) any special circumstances concerning the candidate
- (c) non-traditional forms of scholarly production as well as the more traditional/disciplinary work—ensuring that individuals receive full credit for their contributions to interdisciplinary and/or collaborative scholarly projects

- (d) strengths and weaknesses of the candidate as a teacher of undergraduate and graduate students, including a statement of how the candidate has enriched the curriculum of the department and other programs
- (e) a description of the outcome of the promotion review at each stage of evaluation in the unit
- (f) an explanation of the reasons for recommending promotion and tenure (if appropriate), and
- (g) teaching effectiveness, research, and service.

SUBMIT the memorandum electronically no later than May 31

2. External Reviewers

- (a) An **external reviewer** is “external” to the University of Michigan. Letters from faculty in other departments or colleges at the University can in no case be used as “external” evaluations. External reviewers must be at “ARM’S LENGTH*” and AT OR ABOVE the rank of the candidate being considered. If circumstances necessitate letters from out-of-rank reviewers, those should be explained.
- (b) After consultation with and oversight by the tenured members of the department, chairs or a tenured designee must contact all reviewers in advance (including those recommended by the candidate) asking for permission to submit their names on behalf of the candidate. **All proposed external reviewers must be approved by the Dean before they are contacted. The candidate should not have any contact with the external reviewers.**
- (c) A summary page listing **at least EIGHT ARM’S LENGTH** recommended reviewers must be submitted for each candidate (4-5 suggestions from the candidate and 4-5 suggestions from the department). The listing **MUST** contain the following information for each in the format indicated in **Sample 1**.
 - (1) Full Name
 - (2) Complete address including zip code (no PO Boxes)
 - (3) Phone number with area code
 - (4) Email addresses (work email and summer email addresses)
 - (5) A short summary paragraph. Identify the reviewers by institution or organization, field of expertise, title, and stature, if applicable.
 - (6) Designate each external reviewer as either arm’s length” or “not arm’s length.”
 - (7) Designate each external reviewer as being “suggested by the chair” or “suggested by the candidate.
 - (8) If any reviewer has an especially close personal or professional relationship with the candidate (e.g., classmate, personal friend, graduate instructor, dissertation advisor or member of dissertation committee, postdoctoral mentor, co-author or co-investigator), indicate the nature of the relationship.
- (d) When the summary of external reviewers is submitted to the Dean’s Office, it is expected that the chair or his/her tenured designee has contacted all reviewers, including those submitted by the candidate, and all have agreed

to serve. **All proposed external reviewers must be approved by the Dean before they are contacted.**

- (e) Candidates' dossiers are made available to the reviewers, via SmartPath, by June 15. Due date for return of assessment letters is **September 1**. All assessment letters must be returned on letterhead stationery and signed. Chairs are requested to share this information with the reviewer.

SUBMIT the summary electronically no later than May 31

The Dean's Office will be responsible for making letters and support documentation available to all external reviewers. Support documentation will include material submitted by the candidate, e.g. curriculum vitae, teaching statement and/or portfolio, course summaries, course evaluations, course descriptions, research statement, books, manuscripts, CDs, DVDs, service statement, etc.

**** Arm's Length Definition- Arm's length letters should be from persons who are outside the present institution of the candidate and who did not work or train with the candidate at other institutions. While letters from persons who have served as a candidate's thesis advisor, mentor, co-author, major collaborator, or who are in the same department as the candidate or co-taught a course, can be especially helpful (because they can be presumed to have a good sense of both the person and the work), it is also true that their own reputations are involved in the work being evaluated. If such letters are included, they must be in addition to the minimum requirement of five "arm's length" letters. Letters from persons who may be unknown to the candidate, but who may have a clear sense of the significance of the candidate's qualifications, are of greater value. Letters from persons who have been a co-author or a major research collaborator with the candidate in excess of 10 years prior to the candidate's expected start date will be allowed.***

3. Internal Reviewers

The department may recommend internal reviewers if there are those having special knowledge of the candidate's work. The listing must contain the following:

- (a) full name
- (b) email addresses

All tenured members of the respective department(s) will be asked by the Dean to submit assessment letters, also due no later than September 15.

SUBMIT the list electronically no later than May 31.

The Dean's Office will be responsible for making letters and curriculum vitae available to internal reviewers. Internal reviewers will be notified that each candidate's promotion dossier will be available on-line via SmartPath.

4. Summaries of Student Evaluations

Summaries of the individual student feedback forms, compiled by the chair or tenured designate, will be accepted as well as summaries from the Office of Evaluations and Examinations (for additional information, please reference its

website: <http://www.umich.edu/~eande>). Candidates may not compile summaries of student feedback forms for the obvious reasons.

SUBMIT the summaries electronically no later than May 31

5. **Mandatory Checklist for Promotion/Tenure File Submitted to the School**
(See Appendix 1) **SUBMIT electronically no later than May 31**

B. **Information from the Candidate**

Each candidate should submit the dossier in its entirety to the Dean's Office no later than May 31 (please note that items 1-6 will be made available to all external and internal reviewers). Each document must be separate from the others, titled as stated, and in *WORD OR PDF* format. PDF documents will be acceptable for items such as copies of course evaluations, press releases, etc. Please submit all documents electronically.

1. **Curriculum Vitae (See Sample 2)**

There is no set format for creating curriculum vitae, but examples of items not to include are dates of birth, ages, names of spouse and children, wedding date, etc. Even though most vitae contain part of the information noted below, separate documents are still required for each section.

SUBMIT CV electronically no later than May 31

2. **Documentation of Teaching Effectiveness**

Because of the central role of teaching among the objectives of the School, documentation of teaching effectiveness is an important element in the promotion dossier of the faculty member. This documentation may take any of a variety of forms but must include the following.

(a) **Summaries of Student Evaluations**

The Provost will no longer accept individual student feedback forms. Summaries of the individual student feedback forms, compiled by the chair or tenured designee, will be accepted as well as summaries from the Office of Evaluations and Examinations. For additional information, please refer to the OEE website: <http://www.umich.edu/~eande>). Candidates may not compile summaries of student feedback forms for the obvious reasons.

(b) **Dissertation Committee(s) List**

(c) **Teaching Portfolio including Teaching Statement (See Sample 3)**

The teaching statement may not be longer than five pages in length. Other documentation may include a list of student accomplishments, examples of examinations administered, outlines, course descriptions, prospectuses, reading lists, or statements of objectives, course requirements, grading standards, or information concerning steps taken by the faculty member to evaluate and to improve the quality of teaching, e.g. courses taken in CRLT.

SUBMIT all documentation electronically no later than May 31

3. **Creative and Professional Activity Statement**

The statement should include a written narrative and a listing of all publications, funded and unfunded research, professional appearances and contributions,

memberships and offices held in professional associations, commissions, prizes and awards, and other evidence of creative or professional activity, research, and scholarship, including activities in progress. Do not include individual programs or playbills.

SUBMIT statement electronically no later than May 31

4. **Research Statement (optional)**

If the candidate conducts research, he/she is encouraged to provide a narrative because it may prove to be valuable in the review process.

SUBMIT statement electronically no later than May 31

5. **Service Statement**

A narrative and list with dates of activities involving service to the School, the University, and to the profession or to professional organizations during the preceding five years or since the most recent promotion, together with activities involving service to government agencies, educational or religious institutions, or charitable organizations.

SUBMIT statement electronically no later than May 31

6. **Publications, Books, Manuscripts, Articles, Portfolios, Selected Book Chapters, DVDs, CDs, etc.**

This work will be provided to each external reviewer via electronic submission. The Dean's Office will help determine which mechanism will be best suited for submission to the reviewers. Candidates should review their work with the Dean's Office prior to submission of materials.

SUBMIT electronically no later than May 31

7. **Student Information.**

- (a) Provide a list with the names and email addresses of all students the candidate taught during this academic year, which may include students not graduated and still at the University. In the case of large-scale courses, a sampling of 15-20 student names is sufficient.
- (b) Provide a list of names and email addresses of at least ten (10) former, graduated students.

SUBMIT lists electronically no later than May 31

The Dean's Office will be responsible for contacting only those students listed by the candidate.

8. **External Reviewers.**

- (a) An **external reviewer** is "external" to the University of Michigan. Letters from faculty in other departments or colleges at the University can in no case be used as "external" evaluations. External reviewers must be at "ARM'S LENGTH"* and AT OR ABOVE the rank of the candidate being

considered. If circumstances necessitate letters from out-of-rank reviewers, those should be explained. **All proposed external reviewers must be approved by the Dean before they are contacted. The candidate should not have any contact with the external reviewers.**

- (b) A summary page listing **at least EIGHT ARM'S LENGTH** recommended reviewers must be submitted for each candidate (4-5 suggestions from the candidate and 4-5 suggestions from the department). The listing **MUST** contain the following information for each in the format indicated in **Sample 1**.
- (1) Full Name
 - (2) Complete address including zip code (no PO Boxes)
 - (3) Phone number with area code
 - (4) Email addresses
 - (5) A short summary paragraph (copied bios for the short paragraph will not be accepted). It should identify the reviewers by institution or organization, field of expertise, title, and stature, if applicable.
 - (6) Designate each external reviewer as either arm's length" or "not arm's length."
 - (7) Designate each external reviewer as being "suggested by the chair" or "suggested by the candidate."
 - (8) If any reviewer has an especially close personal or professional relationship with the candidate (e.g., classmate, personal friend, graduate instructor, dissertation advisor or member of dissertation committee, postdoctoral mentor, co-author or co-investigator), indicate the nature of the relationship.
- (c) Candidates' dossiers are sent electronically, via SmartPath, by June 15. Due date for return of assessment letters is **September 1**. All assessment letters must be returned on letterhead stationery and signed. Chairs are requested to share this information with the reviewer.
- (d) When the summary of external reviewers is submitted to the Dean's Office, it is expected that all reviewers have been contacted by the Chair or tenured designate and all have agreed to serve. The candidate should consult with the chair before submitting the summary to ensure that this mandate has been completed.
- (e) Candidates will have an opportunity to review lists of recommended external reviewers before packets are distributed. If the candidate objects to anyone listed, the candidate must contact the Dean immediately. Tenured members of relevant departments will be requested to write assessment letters.

SUBMIT summary electronically no later than May 31

The Dean's Office will be responsible for sending letters and support documentation to external reviewers, via SmartPath. Support documentation will include material submitted by the candidate, e.g. curriculum vitae, teaching statement and/or portfolio, course evaluations, course descriptions, research statement, books, manuscripts, CDs, DVDs, service activities statement, etc.

**** Arm's Length Definition- Arm's length letters should be from persons who are outside the present institution of the candidate and who did not work or train with***

the candidate at other institutions. While letters from persons who have served as a candidate's thesis advisor, mentor, co-author, major collaborator, or who are in the same department as the candidate or co-taught a course, can be especially helpful (because they can be presumed to have a good sense of both the person and the work), it is also true that their own reputations are involved in the work being evaluated. If such letters are included, they must be in addition to the minimum requirement of five "arm's length" letters. Letters from persons who may be unknown to the candidate, but who may have a clear sense of the significance of the candidate's qualifications, are of greater value. Letters from persons who have been a co-author or a major research collaborator with the candidate in excess of 10 years prior to the candidate's expected start date will be allowed.

9. Internal Reviewers

Candidates may recommend internal reviewers if there are those having special knowledge of the candidate's work. The listing must contain:

- (a) full name
- (b) email address

All tenured members of the respective department(s) will be asked by the Dean to submit assessment letters, also due no later than September 15.

SUBMIT list electronically no later than May 31

The Dean's Office will be responsible for making letters and curriculum vitae available to internal reviewers. Internal reviewers will be notified via SmartPath of each candidate's promotion dossier.

**10. Checklist for Promotion/Tenure File Submitted to the School
(See Appendix 2) Submit electronically no later than May 31.**

C. PROMOTION AND TENURE TIMELINE

- 1. MAY 31 (On or before)** – Candidates for promotion and/or tenure in the School submit their promotional dossiers (curriculum vitae; teaching, research, service statements; materials relating to creative and/or scholarly work; etc.) electronically to the Dean's Office.
- 2. FIRST WEEK IN JUNE**
Via email, a list of external reviewers will be sent to candidates for review. Candidates are urged to check email for the list and must, upon receipt, reply ***"I have no objections to the list"*** or ***"I have an objection and will contact your office."*** The Dean will be notified and arrangements made to meet with the candidate or to discuss objections via telephone. No letter will be sent without authorization.
- 3. JUNE 15 (On or before)** – The Dean's Office will begin sending completed dossiers to all approved reviewers via SmartPath.
- 4. SEPTEMBER 1 (On or before)** – Final revisions of pending projects may be added to candidates' dossiers. The Dean's Office will inform *internal* reviewers of the updated materials and make them available; *external* reviewers will not be so

notified. Candidates may inform the Dean's Office for Executive Committee consideration of awards and accomplishments unanticipated on the CV until **December 1**.

5. **SEPTEMBER 1** – Due date for receipt of assessment letters from external reviewers.
6. **SEPTEMBER 15** – Due date for receipt of assessment letters from internal reviewers. The Executive Committee begins its review of promotion/tenure files after that date.
7. **OCTOBER - DECEMBER** – Promotion dossiers reviewed and processed by the School Executive Committee.
 - (a) If additional information is requested, the candidate/chair will be contacted by the dean.
 - (b) If the Executive Committee's decision is not favorable, the dean will contact the candidate and chair immediately.
8. **THIRD WEEK IN DECEMBER** – Candidates will be notified in writing that the School Executive Committee recommended that their promotion dossiers be advanced to the Provost for the next step in the review process.
9. **DECEMBER AND JANUARY** – Dean's Office staff will compile electronic promotion dossiers for Regental review.
10. **MID-FEBRUARY** – Promotion dossiers electronically delivered to the Office of Academic Human Resources and Affirmative Action for the first review, which will be conducted under the guidance of the Provost's Office. If additional information and/or documents are requested, the dean will contact the candidate/chair.
11. **LATE MARCH – EARLY APRIL** - The Office of Academic Human Resources and Affirmative Action submits the electronic promotion dossiers to the Office of the Provost, where the Provost and several advisors conduct further reviews. If additional information and/or documents are requested, the Dean will be contacted.
12. **MID-APRIL** – The Provost meets with the President to review and discuss bids for promotion and/or tenure. Promotion dossiers advanced electronically to the Board of Regents.
13. **SECOND/THIRD WEEK IN MAY**
 - (a) Promotions are presented to the Board of Regents for action. No recommendation for Instructional tenure track faculty promotion or tenure is final until approved by the Regents.
 - (b) Each candidate receives written notification from the Provost that the Board of Regents approved his or her bid for promotion and/or tenure. *Effective date of new appointment: September 1.*

APPENDIX 1

DEPARTMENT CHAIR

CHECKLIST FOR PROMOTION/TENURE FILE **SUBMITTED TO THE SCHOOL**

CANDIDATE: _____

CHAIR: _____

- **Completed Copy of this Checklist**
- **Cover Letter from the Chair (pertains only to the Department of Theatre and Drama and the Department of Dance)**
- **Tenure Review Committee Report (if applicable)**
- **Summaries of Student Evaluations**
- **Summary Page of External Reviewers**
- **All external reviewers--including those suggested by the candidate--have been contacted and have agreed to serve**

Signature of Chair: _____

Listing of Internal Reviewers (optional)

Material Electronically Forwarded to the Dean's Office

APPENDIX 2

CANDIDATE

CHECKLIST FOR PROMOTION/TENURE FILE **SUBMITTED TO THE SCHOOL**

CANDIDATE: _____

CHAIR: _____

- **Curriculum Vitae**
- **Documentation of Teaching Effectiveness**

Summaries of Student Evaluations

Dissertation Committee List

Teaching Portfolio including Teaching Statement

- **Creative and Professional Activity Statement**
- **Research Statement (if applicable)**
- **Service Statement**
- **Publications, Books, Manuscripts, Articles, Portfolios, Selected Book Chapters, DVDs, CDs, etc.**
- **Summary Page of External Reviewers**
- **Listing of Internal Reviewers (optional)**
- **Listing of Current Students and Email Addresses**
- **Listing of Former Students and Email Addresses**

Material Electronically Forwarded to the Dean's Office

SAMPLE I

SUMMARY OF EXTERNAL REVIEWERS

Reviewer A:

Charles Donahue, Jr.

Title: Professor
Institution: Harvard University
Street Address: 100 Yard Street
City, State, and Zip Cambridge, MA
Phone: (617) 495-1000
Email Address: chardon@harvard.edu

Charles Donahue, Jr. is Paul A. Freund Professor of Law at Harvard University, where he teaches property and legal history. He was previously a member of the University of Michigan Law School faculty. He is coauthor of a leading casebook on the law of real property and has written extensively about property and legal history.

“arm's length” submitted by the candidate

Reviewer B:

Carol M. Rose

Title: Professor
Institution: Yale University
Street Address: 300 Yale Street
City, State, and Zip New Haven, CT 06520
Phone: (203) 432-4771
Email Address: carrose@yale.com

Carol M. Rose is Gordon Bradford Tweedy Professor of Law and Organization at Yale Law School, where she teaches property, contracts, environmental law, land use planning, and natural resources law. She was previously on the faculties of Stanford Law School, University of California at Berkeley, Northwestern, and University of Chicago. She is co-author of a casebook on property law and is a leading scholar on property theory.

“arm's length” submitted by the chair

Reviewer C:

Jerry Waldron

Title: Professor
Institution: Columbia University
Street Address: 333 Columbia Street
City, State, and Zip New York, NY 10027
Phone: (212) 854-1754
Email Address: jwaldron@columbia.com

Jeremy Waldron is Maurice and Hilda Friedman Professor of Law at Columbia University where he teaches courses in jurisprudence and legal theory. He was previously a member of faculty of the University of California, Berkeley School of Law. He is the author of a book on the theory of private property.

“not at arms length” submitted by the candidate

Professors Waldron and Nelson were colleagues at the Israel Vocal Arts Institute in Tel Aviv in 1995, and Professor Nelson observed his law master classes at Albion College in 1996. Professor Waldron has worked with several of Professor Nelson's former students.

Reviewer D:

Gregory S. Alexander

Title: Professor
Institution: Cornell University
Street Address: 777 Ithaca Street
City, State, and Zip Ithaca, NY 14850
Phone: (607) 254-4636
Email Address: galex@cornell.edu

Gregory S. Alexander is Professor of Law at Cornell Law School, where he teaches real property, property theory, and estate and trust law. He recently wrote a book on property theory that received an award for best law book of 1997 from the American Publishers Association.

“arm's length” submitted by the chair

Reviewer E:

Robert C. Ellickson

Title: Professor
Institution: Michigan State University
Street Address: 600 Green Street
City, State, and Zip East Lansing, MI 40323
Phone: 517/683-22007
Email Address: robellick@msu.com

Robert C. Ellickson is Walter E. Meyer Professor of Property and Urban Law at Yale Law School, where he teaches courses in property, land use planning, real estate transactions, and torts. He was previously on the Stanford Law School faculty. He has written extensively about property theory and recently published a book about how property owners resolve disputes outside the legal system that won the Order of the Coif Triennial Book Award. He is also co-author of a casebook on property law.

“arm's length” submitted by the candidate

Reviewer F:

Joseph L. Sax

Title: Professor
Institution: University of California, Berkeley
Street Address: 225 Berkely Street
City, State, and Zip Berkeley, CA
Phone: (510) 642-6000
Email Address: jlsax@ucb.edu

Joseph L. Sax is James S. House & Hiram H. Hurd Professor of Environmental Law at the University of California, Berkeley, where he teaches environmental law, natural resources, and water rights. He was previously a member of the University of Michigan Law School

faculty. He has written extensively about environmental law and the control of environmental resources.

“not at arm’s length” submitted by the candidate

Professors Sax and Nelson share many of the interests and duties at their respective institutions. For this reason, Professor Nelson invited Professor Sax to collaborate with him on law seminar at the University of Michigan in 2001. (This was the only time they worked together.) He has also taught several of Professor Nelson’s former students in advanced law.

SAMPLE 2

CURRICULUM VITAE

CHRISTOPHER NELSON
Associate Professor of Conducting
University of Michigan
Department of Conducting
2300 Moore Building
Ann Arbor, MI 48109-1285

Email Address: cnelson12@umich.edu

Phone: (734) 693-5513

Fax: (734) 693-0007

Academic Degrees:

B.A.	1979	Columbia University
M.A.	1990	Indiana University
Ph.D.	1995	Northwestern University

Professional Record:

1998 to present	Associate Professor, with tenure, Department of Conducting University of Michigan School of Music
1998 to present	Program Director, Center for Creative Arts University of Michigan School of Music
1995 to 1998	Associate Professor, without tenure, Department of Conducting University of Michigan School of Music
1985 to 1995	Clinical Associate in Conducting Institut National des Arts, Paris, France

Teaching:

Courses Taught at the University of Michigan:

- Introduction to Performance Studies (Graduate Seminar)
- Comparing Apples to Oranges (Undergraduate)
- Undergraduate Seminar with Upper Level Writing Requirement]

Courses Taught at the Institut National des Arts:

- Conducting 1 and 2
- Acting 1
- Baton 1

Research Interests:

- Epic and Orality in Performance: The Poetics and Politics of Stage Adaptation.
- Theatre and Popular Performance, and the use of tropes in Central Africa.
- Interculturalism and the Performance of Conducting.
- Function of Popular and Informal Media in Visual Arts, Music, and Performance dealing with social and political criticism.

Grants:

Research Grant from the University of Michigan Office of the Vice President for Research - "Mvett, Yesterday and Today," Preliminary Field Trip Research in Gabon, \$10,000.00 with complement from Office of the Vice-Provost for Academic Affairs, \$5,000.00: Summer 2001

Publications:

Works in Progress:

"Masks, Masquerades, and Memory in Jean Genet's *Les Negres* and *Le Balcon*." A manuscript. Working title. A manuscript started in 2001 as a result of my preparation to direct Genet's *The Balcony* with the University Productions, combined with the outcomes and findings of the directorial experience.

Completing an article on preliminary findings of field trip (Summer 2001) in Central Africa: "Mvett: Performing Ancestral Myth in Modern Settings."

Book Manuscript:

"*Socio-Political Dynamics of Grassroots Theatre and Performing Arts in Central Africa: Rumor, Rhetoric, and Hidden Critique*." Under review for publication with Iowa University Press.

Book Chapters:

"Congolese Theatre and the Political Body." *Congolese Literature and the Political Body*. Edited by Ngwarsungu Chiwengo. Forthcoming.

"African Art, From a Question Mark to 'Reprendre': An Assessment." *Nomen est omen. L'Afrique au miroir des littératures et des sciences humaines*. Edited by Mukala Kadima-Nzuji and Sélom Gbanou Komlan (Brussels and Kinshasa: CEDILIC, June 2002). This essay is a contribution to a book in honor of V.Y. Mudimbe on his 60th Birthday.

Articles:

"Revisiting Wole Soyinka's *A Dance of the Forests*: Postcolonial Renegotiation of Collective Memory. Submitted to *Theatre Journal*. (Under review) 2005.

Papers Presented and Invited Colloquia:

2004 "Poetics of Memory in African Drama: Wole Soyinka and Sony Labou Tansi." 47th Annual Meeting of the African Studies Association (ASA) in New Orleans, LA, November 12, 2004. Also, Chair of the Panel.

"Audiencing Popular Performance in Two Central African Contexts: Kinshasa (D.R. Congo) and Libreville (Gabon)." The Fourth Annual Interdisciplinary Conference on Qualitative Research at the University of Michigan, Ann Arbor, MI, May 7, 2004.

2003 "*BICHINI BIA CONGO*: Keeping and Popularizing Our Roots in Diasporic America" 46th Annual Meeting of the African Studies Association (ASA) in Boston, MA, October 31, 2003.

"Paradox of Authenticity and 'Animation Politique'." The 2003 Colloquium Series on "Politics, Culture and the Arts" at Yale Center for International and Area

Studies, Yale University Council on African Studies: April 3, 2003 [With
Bob White of the University of Montréal]

Creative and Professional Activity:

- 2005 New York State School Music Association Conductors Chorus
Maryland/District of Columbia/Delaware American Choral Directors Association
- 2004 West Virginia Collegiate Honors Choir
Colorado TTBB All-State Choir
- 2003 Texas TTBB All-State Choir
California State SATB Honors Choir

Artistic Productions as a Director:

The White Black Man by OyamO, at the Detroit Plowshares Theatre Company in April-May 2003. Performances were held at Marygrove College Theatre (May 8 through June 10, 2003).

The Balcony by Jean Genet, with the students of the Department of Theatre and Drama, produced by the University Productions, the University of Michigan, in Trueblood Theatre: March 28-31, and April 4-7, 2002.

Liyanja (Congolesse Epic) adapted for the American Stage by Charles OyamO Gordon in the University of Michigan Department of Theatre and Drama in association with the "Bichini Bia Congo Dance Theatre Company" in Trueblood Theatre From November 10 to 14, 1999.

Other Artistic Experiences:

Director, Recording of selected finalist plays on the behalf of the Inter-African Drama Competition organized by Radio-France Internationale in 1982, 1984, and 1986.

Actor in many productions.

Stage Manager

Professional Associations:

Member of African Studies Association

Member of American Society for Theatre Research

Member of Theatre Communication Group

Member of International Federation of Theatre Research

Languages:

English, French, Lingala, Kikongo (native), Italian (working proficiency).

SAMPLE 3

TEACHING STATEMENT **COURTESY OF PROFESSOR BETTY ANNE YOUNKER**

My philosophical and pedagogical beliefs about music teaching and music making have evolved over the last two decades from being a musician, researcher, and teacher. From those experiences, two beliefs have shaped not only my teaching but also my research hence connecting both to each other interdependently. The first is that music education should nurture each and every student's ability to become informed consumers and participants of music making. The second is that students and teachers should be recognized as active agents in their learning. These beliefs provide a platform for shaping environments in which musical thinking is enabled.

As a public school band and choral conductor, and general music teacher, my pedagogy was philosophically rooted in the concept of aesthetic education that for me articulated what I experienced while making music. My pedagogy, therefore, was driven by ways to heighten students' musical experiences. The focus was the expressiveness of music in the absolute sense, with an acknowledgement that music served functional needs in a variety of contexts. I quickly learned that, when faced with a diversity of learning styles and musical potentials, attempting to heighten a student's musical experiences through one means or in one way was challenging on many levels. One way to address those issues was to involve students in a variety of music making experiences, including listening, performing, improvising, and composing and to accept the levels of meaningfulness and abilities at the individual level. During this time, I became more curious about what it meant to 'think in sound' and think creatively while making music, specifically when composing. This curiosity in my teaching generated the beginnings of my research program (see Research Statement for specifics). As well, this curiosity remains rooted in the belief that we all possess the ability to engage with the expressiveness of music and that this ability can be nurtured at some level regardless of learning, motivation, and musical potential. I continue to struggle, however, with whether or not music education programs provide the most effective means for each student to achieve his or her musical potential and to become independent musical thinkers who in turn can become informed audience members.

The second belief is based on my view of music education students as partners in learning environments. Students bring to the learning environment experiences in which understandings have been constructed and are open to change and growth. These understandings need to be recognized and given room for application in present learning situations so that students can make sense of the understanding that is being constructed. Such environments recognize students as active agents who are vital partners in their process of learning.

The logic of making decisions about what should be learned when, and how the learning should occur is as much centered on the student, as it is the content. As the informed music educator, it is my responsibility to construct an environment in which decisions about content and pedagogy are made as much by me as they are in consultation with my students. If I believe my students at the university level should provide such environments for children, then I need to ensure they experience those kinds of environments in my classroom. I strive, therefore, to have my teaching reflect these two broad beliefs and am affirmed when students' comments in course evaluations reflect such beliefs (see Course Evaluations for specifics).

One important interconnection between my teaching and research is how each informs the other. I have framed my research so that it requires me to work with students in public schools, the same population my students will encounter after graduation. Since the fall of 2002, I have volunteered at and used as a research site a fifth-grade music classroom for which composition is the curriculum (see Research Statement for specifics). In addition, I was invited to spend two mornings a week, during March-May 2004, in a fifth-grade classroom to guide students in composition activities. Other teaching experiences include working with middle school flute players at summer camps, adjudicating at band and solo/ensemble festivals, visiting schools with students as they complete their methods class, observing student teacher,; and collaborating in research projects with local music teachers (see CV for specifics). Such experiences keep me informed about current teaching and social situations within the public school system and either substantiate or negate my reflections of own public school teaching experiences.

Finally I strive to ensure that my pedagogy reflects the two beliefs described above. As I continue researching, teaching, and making music, I am committed to grow in each of these areas, and strengthen the relationships between what I do and how my students understand music and music education. Fuelling this goal is the desire to empower students to be independent musicians and thinkers about music and music education in hopes that the field can be enriched by their music making and teaching. My Course Evaluations offer evidence that I have achieved this goal.

TEACHING PORTFOLIO

COURSES TAUGHT

As a member of the music education faculty, my teaching load includes courses that are directed at philosophical, psychological, curricular, and pedagogical aspects of music education. Through my experiences as a researcher, student, and practitioner in each of these areas, I bring a wealth of theoretical and practical insights to the classroom. Throughout each course, I provide practical experiences that are supported by research thus reflecting a grounded understanding of how young people make and understand music, and why music education needs to be a valued part of the public school system. Specifically my teaching responsibilities since my hire at the University of Michigan have included, at the graduate level *Philosophy/History of Music Education* (PROSEM 501), *Supervision and Administration of Music Education* (MUSED503), and *Psychology of Music Teaching and Learning* (MUSED 510); and at the undergraduate level, *Elementary General Music Methods/Practicum* (MUSED 341/349), *Secondary Choral Methods* (MUSED 340), and *Teaching of Music by Elementary School Teachers* (MUSED 408). In addition, I coordinated the Student Teaching Program from 2000-2003, and since Fall 2003 have co-coordinated the Student Teaching Program with Prof. Colleen Conway.

COURSE DESCRIPTIONS (see *Course Syllabi* for detailed descriptions)

Graduate Courses

In all of the graduate courses, I expect students to come to class prepared to discuss the content of required readings, and ask and pose questions that arise from those readings. I limit my lecturing to clarifying concepts as presented in the literature and not understood by all students. I often call upon students to offer their understandings before, during, or after my rendition to gain insight to their perceptions. Most often, I structure the class by posing questions and either responding or having students respond to what has been said and asked. The main means of informing and being informed then is through dialogue that is generated by questioning and critiquing. For students to show their understanding of the content and make connections to practice, I organize assignments around projects and papers that provide students opportunities to analyze and synthesize, critic, create, and apply rather than relying on a mid-term and final exam.

- *Philosophy/History of Music Education*: PROSEM 501, Summer 2000; Fall 2000, 2001, 2004

The underlying purpose of the course is to provide students opportunities to critically think, write, and discuss about philosophical issues that face our profession. To facilitate such thinking and writing, students must become familiar with the extant literature within the philosophy of music education community and be aware of philosophical writings in the general educational arena. This literature has vastly changed over the last twenty years and continues to change, thus the reading list has varied from year to year (see Course Syllabi PROSEM 501 for specifics). Finally, students must begin to formulate philosophical statements that reflect informed justifications for music education within formal and informal educational contexts.

- *Supervision and Administration of Music Education*: MUSED503, Winter 2001, 2002

My first experiences of teaching this course were here at the University of Michigan. To prepare myself, I consulted courses I had completed in areas of supervision and curriculum, relevant articles and books, and colleagues who taught the class at like institutions. My decision to base the course on curricular issues within contexts of teaching, supervising, and administering stemmed from the need for students to have a holistic perspective about devising and implementing music education programs within supportive environments. To understand the supervision and administration of music education programs, one needs to understand why, how, and when such programs are devised and realized, in all aspects of curriculum.

- *Psychology of Music Teaching and Learning*: MUSED 510 Winter 2004

My first experience of teaching this course was also here at the University of Michigan. This course is designed to introduce areas within the field of psychology of music teaching and learning from developmental, social, creative thinking, and cognitive constructs. The field of psychology of music has grown in the last ten years, particularly within the area of social psychology and creative thinking; therefore necessary for readings to cover the breadth of the field.

Undergraduate Courses

As with the graduate courses, I expect students to come to class prepared for discussions and activities. What they have read is put into action throughout the class via a variety of means, e.g., composing, listening, discussing, performing, teaching, singing, and moving. Evidence of understanding is revealed through teaches, performances, compositions, discussions, and written projects. Interwoven throughout the course are responses to and discussions about case studies as presented in the required textbooks. These case studies are from the field thereby providing students opportunities to solve ‘real’ problems. During the first class, students enter a discussion about the weighing of grades and make decisions about how much weight should be given to each assignment. This places them in the role of an evaluator, a role that will be required of them as they enter the music teaching profession. Throughout the course, students must acquire the necessary knowledge, skills, and resources for immediate application in teaching situations and begin to develop a philosophical viewpoint about the value of our discipline in community and public schools settings.

- *Elementary General Music Methods/Practicum*: MUSED 341/349, Fall 2000, 2001, 2002, 2003, 2004

The underlying philosophy of MUSED 341 is to acquire understandings about the complexities of teaching general music in an elementary setting, and also acquire skills to realize such complexities. These complexities are interwoven in philosophy, psychology, methodology, pedagogy, and assessment. The structure of the course is based on a curriculum document; thus, students embark on readings, reflections, and discussions about philosophical, psychological, methodological, and pedagogical issues. Throughout, issues related to assessment and evaluation are investigated.

In addition, students practice the theory through ‘teaching’ their peers while being videotaped and completing projects that require analysis and synthesis, evaluation, and application of the knowledge. In terms of the ‘teaches’ each student is to reflect on the process immediately after the episode while peers evaluate the ‘teach’, and then write another reflection after viewing the videotape.

The course is divided into two parts: (1) four hours per week during which students discuss and practice the various understandings, and (2) two hours per week during which students observe and teach elementary-aged students in school-based general music programs. This part is crucial if students are to practice the craft of music teaching, reflect while teaching, and reflect on their experiences.

I continue to explore ways in which multiple layers of content can be experienced in a sequential manner, and reflect on what content is necessary and to what depth and breadth each layer of content should be examined and experienced (see Course Syllabi MUSED 341 for variations of sequence and content). As well, although I acknowledge the value of students realizing ‘teaching episodes’ in front of peers while being videotaped and reflecting on those videotapes, I struggle with the realism of such episodes and explore alternatives. Whatever alternatives I may adopt, the requirement to reflect on a ‘teaching episode’ immediately after the experience and again after viewing the videotape will remain constant. This process is critical in the development of one’s reflective practice.

• *Teaching of Music by Elementary School Teachers*: MUSED 408, Spring 2002, Winter 2003

This course is designed for elementary education majors who will be classroom teachers, thus students who are non-music majors. The underlying goal for the course is to enable future educators to gain a comfort level that is needed to bring music into their classrooms. In addition, I aim to raise their awareness of the issues related to music in the schools and how music could be integrated into the classroom.

The diverse level of skills, knowledge, and experiences with regard to music represent, for me, the elementary general music class in which students differ in terms of motivation, skills, experience, and potentials. This challenging, and yet educational experience has forced me to re-visit how students learn, and perceive and respond to music. There are processes involved when learning music that are not age-specific. This is becoming evident in the research and substantiated by the many experiences I have had teaching music to young musicians ranging from three to seventy-three years of age. Therefore, issues that are brought to my attention are similar to issues music education students will face when teaching beginning musicians. In preparation for the non-music majors’ class, I uncover the musical skills and knowing that we as musicians do at the automatic stages and think through initial steps of learning when planning and teaching. This strengthens my practice and reminds me of the detail, at the micro level, that needs to be explicit when teaching music education students the process of pedagogy.

• *Secondary Choral Methods*: MUSED 340, Winter 2001

MUSED 340 was typically taught by Dr. Sandra Snow and was developed by her while at the University of Michigan. I taught it while she was on leave during Winter 2001 and had access to her materials. Based on the strength of the course and the fact that I was to teach it for only one term, I followed her course syllabus. I was able to bring to the class my experiences as a choral conductor, a vocalist in solo and choral settings, and knowledge about the philosophical grounding for this course, that is, reflective practice.

•*Coordinating the Student Teaching Program/Student Teaching Seminar (2000-2003)* • *Co-coordinating the Student Teaching Program/Student Teaching Seminar (2003-04)*
MUSED 345-349; MUSED 375-379

As coordinator of the Student Teaching Program (2000-2003) and co-coordinator of the program for 2003-2004, I worked closely with students during the semester before they student taught. My responsibilities included (1) guiding students through the application process, (2) doing informal audits in consultation with the register, (3) reviewing applications for completeness, (4) advising students when requirements for the degree and applications are not completed, (5) working with the School of Education, (6) coordinating placements with area teachers, (7) coordinating observations by faculty and GSIs, (8) coordinating observation evaluations, and (9) working with GSIs as they observe. It was a tremendous load and took approximately 10-20 hours per week. Over the past year, in cooperation with Prof. Colleen Conway and a GSI (Clay Walcholz), this job took approximately 5-8 hours per week. Observing student teachers varies semester-to-semester depending on the number of students in the field. On the average, I have observed between 6-12 students per semester, with each observation requiring three hours of time. It is critical that faculty observe the students as it provides opportunities to build relationships with local teachers, observe programs, and provide support for the student teachers.

Students attend Student Teaching seminar once a week during their student teaching experience. This provides opportunities for students to dialogue about their experiences in an environment that is trustworthy and supportive. In addition, it allows students to explore topics that have not been offered to them in previous music education classes.

Topics that are suggested by me and augmented or deleted by students are covered through discussion and are led by guest speakers or me. Such topics are selected by the student teachers at the beginning of the semester from a list that has been generated over the years, one that is based on research and suggestions from student teachers in previous semesters. Lastly, students have two opportunities during the semester to meet individually with me to discuss issues that are specific to their situations.

Two new aspects of the seminar during Winter 2003 involved students writing reflective comments about one aspect of their teaching that occurred over the previous week. At mid semester, students were asked to identify any threads that appeared and to compare and contrast comments that had been written since the beginning of their student teaching experience. This allowed students to identify growth in their ability to reflect on their teaching and to identify issues that were pertinent throughout the semester. The other aspect involved students keeping repertoire lists of what their students played. These lists were typed and given to the students as they exited the program. As director of seminar during Winter 2004, I involved students in both of these activities. Overall, the semester of student teaching is a culminating experience as students begin to develop a teaching persona.

SUMMARY

I have made strong contributions to the education of students at the University of Michigan over the past four years (see Course Evaluations for specifics). I bring to the classroom a wealth of experiences and knowledge about philosophy, psychology, methodology, pedagogy, and assessment and evaluation. I enjoy the process of education and continue to marvel at what each student brings to the classroom. It is a privilege to work with such bright and motivated young

adults. My goals are to continue to learn, witness, reflect, and grow as a reflective practitioner, particularly when leading students in discussions and, on a broader level, empowering them to become independent thinkers.

THE TEACHING PORTFOLIO

By

Matthew Kaplan, Instructional Consultant
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At institutions across the country, faculty are creating opportunities to exchange ideas on teaching and, in the process, becoming more reflective about their teaching. In part, this is a response to national discussions about the false dichotomy that is often drawn between teaching and research. To move beyond this debate, there have been calls for expanding the idea of scholarship to include certain teaching products, as well as research products (Boyer, 1990). Three strategies for taking a scholarly approach to reviews of teaching are ones that are common to discussions of research as well (Shulman, 1993). First, scholarship is firmly grounded in the disciplines, and a scholarly approach to the review of teaching would focus on the teaching of a specific discipline. Second, just as research becomes scholarship when it is shared, faculty would need to begin making teaching community property. And finally, scholarship often involves making judgments about faculty work, which, for teaching, would mean that faculty would become more involved in reviewing each others' accomplishments in teaching and learning.

The teaching portfolio is one of the tools faculty can use to document their scholarly work in teaching. This Occasional Paper contains a discussion of the nature and purpose of the teaching portfolio (and its offshoot, the course portfolio) and suggestions for how individuals and units can use portfolios most effectively.

What Is a Teaching Portfolio?

A record of accomplishments in teaching

Based on the model of the portfolio kept by artists and architects, the teaching portfolio contains evidence of a faculty member's achievements in teaching: "What is a teaching portfolio? It includes documents and materials, which collectively suggest the scope and quality of a professor's teaching performance. . . . The portfolio is not an exhaustive compilation of all of the documents and materials that bear on teaching performance. Instead, it presents *selected information* on teaching activities and *solid evidence* of their effectiveness" (Seldin, 1997, p. 2).

Documentation in context

The portfolio should be more than a simple collection of documents. It also should contain reflective statements on the material included and on the faculty member's approach to teaching and student learning. The reflective portions of the portfolio help set the documents in context for the reader; the materials provide evidence to back up the assertions made in the reflective statement.

What Might Go into a Portfolio?

When considering the contents of a portfolio, faculty must distinguish clearly between being *representative* and being *exhaustive*. Attempts to create an exhaustive compendium of an instructor's work in teaching run the risk of becoming exhausting, both for the person collecting the materials and for any readers who might choose (or need) to respond to the portfolio. Furthermore, the attempt to be completely comprehensive can turn the project of developing a portfolio into a paper chase. Such a large collection of documents makes it difficult to maintain the reflective aspect of the portfolio, which is one of its chief purposes and advantages.

The portfolio should, instead, be representative of the various aspects of a faculty member's teaching. This means looking beyond the most obvious part of teaching—what goes on in the classroom. While the activities and interactions with students in class are important, they do not fully reflect faculty work with teaching. Other items might include planning courses, assessing student learning, advising students (in office hours or in larger projects such as theses and dissertations), curriculum development and assessment, supervising student research, working to improve one's teaching, and publishing articles on teaching and learning.

One way to categorize items that a faculty member might include is to divide them into three categories based on the source of the item: materials from oneself (e.g., reflective statements, descriptions of course responsibilities, syllabi, assignments), materials from others (e.g., statements from colleagues who have observed or reviewed teaching materials, student ratings, letters from students or alumni, honors or recognition); and products of good teaching (student essays or creative work, a record of students who have succeeded in the field, evidence of supervision of theses). Some of these sources may be more appropriate for certain aspects of teaching than for others. See Appendix A for a more comprehensive list.

Purposes of Portfolios

Self-reflection and improvement

Assembling a portfolio involves reflection. Most portfolios include a reflective statement that can cover topics such as the instructor's approach to teaching and learning, his or her assumptions about the roles of students and teachers, and goals the instructor expects students to achieve (Chism, 1997/98). In addition, faculty need to collect documents that support their reflective statement, a process that also involves reflection (selecting some items over others, reviewing past work, etc.). As a result, the portfolio is well suited to helping faculty examine their goals for teaching and student learning, and compare those goals to the reality of their praxis.

The comparison between the ideal and the real is the first step in the process of improving teaching. Instructors can gain a sense of how effective their teaching is and how they could improve from a variety of sources: student ratings of instruction, mid-semester feedback, self-perception, discussions with colleagues, etc. By constructing a portfolio, faculty will look systematically at the various sources of data about their teaching; therefore, they can make more informed decisions about teaching strengths on which they wish to build and problems in their teaching they wish to address. The reflection and improvement process can be further enhanced when faculty work together (in pairs or small groups) as they develop their portfolios. Colleagues can offer support and advice, exchange new ideas and solutions to problems, and broaden each other's views of the teaching and learning process. Moreover, such exchanges help create a community of scholarship around teaching that is based on a concrete, discipline-specific context.

Decision-making

Accomplishments in teaching are becoming a more important factor in administrative decisions such as tenure, promotion, reappointment, and merit increases. The teaching portfolio enables faculty and departments to insure that an instructor's work in teaching is judged using multiple forms of evaluation, seen by multiple eyes. This is important, since no one perspective can accurately represent faculty teaching. For instance, students can evaluate certain aspects of teaching that focus on classroom interactions, such as organization, rapport, and ability to stimulate discussion. On the other hand, faculty colleagues are in a position to judge items that are beyond the expertise of students, such as how up-to-date material is, how well a course is integrated into the curriculum, etc.

Self-evaluation and reflection are also important, especially for providing a context for understanding data about teaching effectiveness. The portfolio as a whole gives individual faculty a sense of control over the evaluation process. In addition, departments that encourage faculty to submit portfolios will need to have discussions about what, if any, documents will be required and what will be left up to the individual faculty; how long the document can (or should) be; and how much reflection is required. Such discussions provide a useful venue for creating a shared sense of what constitutes good teaching in a department.

Graduate student portfolios

Graduate students who apply for faculty positions commonly use portfolios because many colleges and universities now require job applicants to provide some proof of teaching experience. Graduate students are turning to the portfolio as a way of organizing their work in this area. Currently, the requirements vary widely among schools. Some require just a list of courses taught or a reflective statement on teaching, and some ask for specific items (such as proposed syllabi for certain types of courses, student ratings, demonstrations of commitment to undergraduate research, etc.). The earlier in their teaching careers that graduate students begin to think about their portfolios, the more chance they will have to retrieve the documents they find most representative of their accomplishments. Aside from its value for the job market, the portfolio often represents the first time graduate students have had the opportunity to reflect on their teaching, which they often find both challenging and rewarding.

An Alternative to the Teaching Portfolio: Course Portfolios

A variation on the teaching portfolio is a course portfolio. As the name implies, these documents focus on a specific course, with a special emphasis on student learning. A course portfolio, therefore, is analogous to a scholarly project. It includes sections on goals (intended student learning outcomes), methods (teaching approaches used to achieve outcomes), and results (evidence of student learning) for a specific course.

Moreover, it is the relationship or congruence among these elements that makes for effectiveness. We expect a research project to shed light on the questions and issues that shape it; we expect the methods used in carrying out the project to be congruent with the outcomes sought. And the same can be said of teaching. By encompassing and connecting all three elements – planning, implementation, and results – the course portfolio has the distinctive advantage of representing the intellectual integrity of teaching. (Cerbin, 1993, p. 51)

Course portfolios offer advantages for the person developing them as well as for the curriculum. For the faculty member developing the portfolio, the advantages are similar to those of assembling a teaching portfolio (e.g., self-reflection and a chance to compare intentions with

outcomes), but with more in-depth insight into the impact of teaching on students. For departments, course portfolios can provide continuity and reveal gaps in the curriculum. For example, a course portfolio becomes a record of the purpose and results of a course that can be passed on to the next person in charge of that course or to the faculty member who teaches the next course in a sequence. By examining a set of course portfolios, a curriculum committee can gain an overview of what students are learning and what is missing, which could help with the process of curriculum revision.

How are Portfolios Evaluated?

Just as there is no one model for a teaching portfolio, there is no one method for evaluation. Again, this is a strength of the portfolio, since it means that individual units will need to develop criteria for evaluation and make them relevant to faculty in that unit. The process of deciding on criteria can also help to clarify what faculty in that unit value with respect to teaching. For one example of an evaluation scheme, see Appendix B.

As units develop criteria for evaluating portfolios, they should first consider the ways they plan to use the portfolio. Will portfolios be limited to faculty being considered for tenure or promotion or for instructors nominated for teaching awards, or will all faculty prepare a course portfolio in preparation for a department-wide curriculum review? These purposes differ and so should the requirements for the portfolios involved.

Once the purpose is clear, faculty will probably want to create guidelines for assembling portfolios. While it is important to maintain the flexibility of the portfolio, it is also necessary to insure some degree of consistency in order to make evaluation fairer and more reliable. Faculty might establish consensus on required items, such as a page limit for the overall size of the portfolio, the focus (a single course, an overview of teaching, or a combination), opportunities for reflection, or a template (so that faculty do not need to worry about format and can concentrate instead on the content). Ideally, such guidelines will be established with input from potential reviewers in the unit as well as those faculty who will be under review.

Advantages of Portfolios

In the AAHE monograph *The Teaching Portfolio: Capturing the Scholarship of Teaching*, the authors describe four main benefits of the teaching portfolio (Edgerton, Hutchings, & Quinlan, 1991, pp. 4-6). Course portfolios have similar attributes.

1. *Capturing the complexity of teaching*

- Portfolios contain evidence and reflection in the context of what is being taught to whom under what conditions.
- The portfolio can present a view of a teacher's development over time.
- Entries in the portfolio can be annotated to explain their significance for the faculty member's teaching.

2. *Placing responsibility for evaluation in the hands of faculty*

- Faculty are actively involved in presenting their own teaching accomplishments so that evaluation is not something done "to" them.
- Portfolios extend evaluation beyond student ratings and encourage peer review and collaboration.
- The need to evaluate portfolios can lead to discussions on standards for effective teaching.

3. *Encouraging improvement and reflection*

- Assembling a portfolio involves reflection.
- Because they involve reflection, portfolios allow faculty to compare their ideals with their actions, a first step in efforts to improve.
- A faculty member's portfolio reveals both products (evidence) and processes (reflection) of teaching to colleagues who read it.

4. *Fostering a culture of teaching*

- Portfolios can provide a rich and contextualized source of evidence about teaching achievements that can be used for a variety of purposes, including evaluation, improvement, summary of faculty careers, and defining "good teaching" in a department.

How Can Faculty Get Started?

Faculty can begin at any time to collect materials for their portfolios. At first, this process might entail simply saving relevant materials related to teaching so that they are readily accessible for review. At some point the faculty member will need to sort through the materials and decide which ones best represent his or her teaching accomplishments. Often this process is enhanced when faculty collaborate with each other as they build their portfolios.

CRLT offers campus-wide workshops on teaching and course portfolios, and we can bring a customized workshop to departments. The focus of the workshop is to help faculty develop a clear idea of what a portfolio is and what items it might include and to give faculty an opportunity to begin a reflective statement on teaching. When workshops are conducted in a department, faculty can begin to answer the question, "What is good teaching in our department?" CRLT also provides one-on-one consultations for individual faculty who are working on their portfolios and for units as they develop a systematic approach to portfolios.

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POSSIBLE ITEMS FOR INCLUSION

Faculty members should recognize which of the items that might be included in a teaching dossier would most effectively give a favorable impression of teaching competence and which might better be used for self-evaluation and improvement. The dossier should be compiled to make the best possible case for teaching effectiveness.

THE PRODUCTS OF GOOD TEACHING

1. Students' scores on teacher-made or standardized tests, possibly before and after a course, has been taken as evidence of learning.
2. Student laboratory workbooks and other kinds of workbooks or logs.
3. Student essays, creative work, and project or fieldwork reports.
4. Publications by students on course-related work.
5. A record of students who select and succeed in advanced courses of study in the field.
6. A record of students who elect another course with the same professor.
7. Evidence of effective supervision of Honors, Master's or Ph.D. theses.
8. Setting up or running a successful internship program.
9. Documentary evidence of the effect of courses on student career choice.
10. Documentary evidence of help given by the professor to students in securing employment.
11. Evidence of help given to colleagues on teaching improvement.

MATERIAL FROM ONESELF - Descriptive Material On Current And Recent Teaching Responsibilities And Practices.

1. List of course titles and numbers, unit values or credits, enrollments with brief elaboration.
2. List of course materials prepared for students.
3. Information on professor's availability to students.
4. Report on identification of student difficulties and encouragement of student participation in courses or programs.
5. Description of how films, computers or other non-print materials were used in teaching.
6. Steps taken to emphasize the interrelatedness and relevance of different kinds of learning.

DESCRIPTION OF STEPS TAKEN TO EVALUATE AND IMPROVE ONE'S TEACHING.

1. Maintaining a record of the changes resulting from self-evaluation.
2. Reading journals on improving teaching and attempting to implement acquired ideas.
3. Reviewing new teaching materials for possible application.
4. Exchanging course materials with a colleague from another institution.
5. Conducting research on one's own teaching or course.
6. Becoming involved in an association or society concerned with the improvement of teaching and learning.
7. Attempting instructional innovations and evaluating their effectiveness.
8. Using general support services such as the Education Resources Information Centre (ERIC) in improving one's teaching.
9. Participating in seminars, workshops and professional meetings intended to improve teaching.
10. Participating in course or curriculum development.
11. Pursuing a line of research that contributes directly to teaching.
12. Preparing a textbook or other instructional materials.
13. Editing or contributing to a professional journal on teaching one's subject.

INFORMATION FROM OTHERS

Students:

1. Student course and teaching evaluation data, which suggest improvements or produce an overall rating of effectiveness or satisfaction.
2. Written comments from a student committee to evaluate courses and provide feedback.
3. Unstructured (and possibly unsolicited) written evaluations by students, including written comments on exams and letters received after a course has been completed.
4. Documented reports of satisfaction with out-of-class contacts.
5. Interview data collected from students after completion of a course.
6. Honors received from students, such as being elected "teacher of the year".

Colleagues:

1. Statements from colleagues who have observed teaching either as members of a teaching team or as independent observers of a particular course, or who teach other sections of the same course.
2. Written comments from those who teach courses for which a particular course is a prerequisite.
3. Evaluation of contributions to course development and improvement.
4. Statements from colleagues from other institutions on such matters as how well students have been prepared for graduate studies.
5. Honors or recognition such as a distinguished teacher award or election to a committee on teaching.
6. Requests for advice or acknowledgement of advice received by a committee on teaching or similar body.

Other sources:

1. Statements about teaching achievements from administrators at one's own institution or from other institutions.
2. Alumni ratings or other graduate feedback.
3. Comments from parents of students.
4. Reports from employers of students (e.g., in a work-study or "cooperative" program).
5. Invitations to teach for outside agencies.
6. Invitations to contribute to the teaching literature.
7. Other kinds of invitations based on one's reputation as a teacher (for example, a media interview on a successful teaching innovation).

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3.

POLICY ON TENURE PROBATIONARY PERIOD: EFFECTS ON TENURE CLOCK OF CHILDBEARING AND DEPENDENT CARE RESPONSIBILITIES

(STANDARD PRACTICE GUIDE 201.92)

I. Policy

A. Childbearing

In recognition of the effects that pregnancy, childbirth, and related medical conditions can have upon the time and energy a woman has to devote to her professional responsibilities, and, thus, her ability to work at the pace or level expected to achieve tenure, a woman who bears one or more children during her tenure probationary period shall, upon written request to the relevant dean . . . be granted an exclusion of one year from the countable years of service that constitute such tenure probationary period.

B. Dependent Care

The demands of caring for dependents (such as children, ill or injured partners, or aging parents) may seriously affect the time and energy faculty have to devote to their professional responsibilities during the tenure probationary period. In recognition of the difficulty of combining an academic career with such dependent care demands, a faculty member in such circumstances may, upon written request to the relevant dean, be granted an exclusion of one year from the countable years of service that constitute that individual's tenure probationary period.

C. General

To promote University-wide consistency, a copy of all requests and responses made under this policy will be forwarded to the Office of Academic Affairs-Personnel for review and reporting to . . . the provost, for faculty on the Ann Arbor campus. . . . Under this policy only one year may be excluded from the countable years of service that constitute an individual's tenure probationary period at the University of Michigan regardless of the combination of circumstances. Faculty who benefit from this policy will work throughout the tenure probationary period, carrying their normal range of responsibilities unless alternative arrangements have been made.

D. Applicability

Events which occur in the final year of a faculty member's tenure probationary period may not be the basis for a request for application of this policy. All requests under this policy must be made prior to the date which has been communicated to the faculty member as the date on which the unit will initiate the tenure review. An exclusion of one year from the countable years of service that constitute the tenure probationary period shall have no effect on the length of a faculty member's term appointment.

II. Other Relevant Policies

Faculty members who experience childbearing and dependent care responsibilities might also want to review:

[SPG 201.11-1](#), “Sick Leave Plan – Academic Appointments” which describes the coverage available to women during pregnancy and childbirth;

[SPG 201.93](#), “Modified Duties for New Parents” concerning relief from teaching responsibilities for pregnancy, childbirth, and adoption;

[SPG 201.30-1](#), “Leaves of Absence without Salary” which describes the eligibility and duration of child care, medical, and personal leave; and

[SPG 201.30-6](#), “paid Maternity (Childbirth) and Parental Leaves” which describe the eligibility and duration of paid maternity (childbirth) leave and paid parental leave.

Procedures: <https://hr.umich.edu/working-u-m/my-employment/uhr-procedures/20192-tenure-probationary-period-effects-tenure-clock-childbearing-dependent-care-responsibilities>

4.

POLICY AND PROCEDURES FOR DETERMINATION OF MERIT INCREASES

There will be a wide range of salaries in the School. This is not the result of inequity but rather a reflection of (1) the broad range of experience represented on the faculty, (2) variability in the job market for the diverse specializations and levels, and (3) the fact that, for any of a variety of reasons, some persons would prove to be more difficult to replace than others. If members of the faculty were equally productive, each would receive a merit increase at the mean level for the faculty as a whole. Even if a faculty that is excellent overall, some members are of greater merit than others. Because the faculty is a distinguished one, the standards and expectations are high. If the most productive individuals are to be rewarded with above-average merit increases, it is inevitable that others will receive below-average increases.

Each member of the faculty shall be reviewed each year by the dean and the Executive Committee for purposes of determining merit increases. Each member shall be asked to supply the relevant information required for the review in the form of a [*Faculty Activities Report*](#). As a part of the annual review, the dean and the Executive Committee will scrutinize all faculty salaries for evidence of inequity and will make any necessary adjustments within the budgetary resources available. Each salary shall be a fair and equitable reflection of the ability and experience of the individual and the demands of the job market for that specialization and level.

Merit increases will be determined in accordance with the following principles and procedures:

A. The Executive Committee shall rate each faculty member on the basis of merit. The salary increase will then be determined by the dean based on the merit rating assigned by the Executive Committee.

B. Normally salary increases shall be allocated on the basis of merit alone.

C. Merit increases will be based on contributions and activities during the year preceding the review. Earlier contributions and activities are assumed to have been recognized in the merit increases for earlier years or in the annual equity review.

D. Merit increases shall be awarded on the basis of the criteria announced for promotion and tenure: (A) teaching, (B) creative or professional activity or research, and (C) service. Teaching shall normally be weighted most heavily, though each faculty member is expected to achieve recognition among his or her peers as an outstanding performer, conductor, composer, choreographer, actor, director, designer, scholar, or clinician. Each faculty member is invited to discuss with the department chair and the dean what constitutes a reasonable and proper balance among these activities in his or her case and to discuss an appropriate weighting for use in the annual review.

E. The dean shall discuss the results of the annual review with each faculty member at least once in each four-year period, and with any faculty member at any time on request. In discussing the results of the annual review with a faculty member, the dean shall convey to the faculty member the major considerations upon which the evaluation was based, any concerns of his/her or of the Executive Committee, and any suggestions for improvement that might be helpful.

Persons who will be on leave during the ensuing year will be reviewed in the same manner as persons who will not be on leave. Persons on leave will not be penalized for being on leave. No person on terminal notice shall be given a merit increase unless the reasons for his or her termination are unrelated to the quality of his or her work.

It is recognized that many demands are placed upon the faculty of the School, that as a group they work very hard, and that in many cases their salaries are in no way commensurate with their contributions to their institution, their students, or their art. At the same time, average salaries in the School compare very favorably with those of other institutions.

It shall be the policy of the School to reward the most productive members of the faculty and to regard no increase as automatic or as justified on the basis of increases in the cost of living. The limited fiscal resources of the School shall be allocated in the best long-term interests of the School. The primary objective shall be to preserve and enhance the quality of the faculty and the instructional programs of the School.

See [Appendix O](#) for a complete copy of the Merit Review Committee Report dated February 15, 2019.

5. NOTICE OF NON-REAPPOINTMENT

All term appointments are considered terminal upon the completion of the terms and conditions of the appointment. However, since for tenure-track appointments there is an expectation of possible reappointment, it is the intent of the University to notify individuals who are not to be reappointed, except as noted in paragraph 4, below, in accordance with the following guidelines.

A. Individuals who have held non-tenured regular full or part-time instructional staff appointments for more than two academic or fiscal years, expiring at the end of Term II, will be notified of non-reappointment no later than September 15 of that academic year. If the appointment expires at a time other than the end of Term II, notice will be given no later than a date, which would provide nine (9) months advance notice of the termination date. This section will apply not only where the individual has had a single term appointment for more than two years, but also where he or she has had continuous multiple term appointments of shorter duration which aggregate to more than two years of service with the University.

B. Individuals holding regular non-tenured full or part-time instructional appointments from one to two academic or fiscal years, expiring at the end of Term II, will be notified of non-reappointment no later than December 15 of that academic year. In cases of appointment terminating at other times, notice will be given no later than a date that would provide five (5) months advance notice of the termination date.

C. Appointees with non-tenured regular full or part-time instructional appointments for less than one academic or fiscal year will be notified of non-reappointment no later than three (3) months preceding the expiration date of the current appointment.

D. Appointments as supplemental instructional staff (i.e., Visiting Instructional Staff, Adjunct Instructional Staff, and Clinical Instructional Staff) are considered to be terminal and notice of non-reappointment will not be provided.

E. Notice of non-reappointment will be explicitly stated in writing from the appropriate department chair or dean. The letter will not be conditional, nor state reasons for the non-reappointment.

Bylaw 5.09 Time. Time spent with a University appointment will be counted toward the acquisition of the protections of Regents' Bylaw 5.09 by the accumulation of years of *service*, if and only if each of the following title, rank, appointment fraction, and service conditions are met:

A. Title and Rank.

The appointment must be a "regular instructional staff" appointment at the rank of instructor or higher. This includes any appointment as a regular instructor, assistant professor, associate professor, or professor, even if it is specifically designated as "without tenure." It does not include lecturer appointments nor adjunct, clinical, or visiting appointments.

B. Appointment Fraction.

The appointment must be "full-time" within the University. For the specified purpose of Bylaw 5.09, "full-time" means an academic year or academic term appointment fraction of 80% or more total to be acquired by adding two or more concurrent appointments, each of the added

appointments must satisfy the Title and Rank conditions of A., above, and the Service conditions of C., below.

C. Service.

The appointment must be spent: (1) in residence at the University of Michigan; or (2) on paid duty-off-campus; or (3) on Sabbatical Leave (SPG 201.30-2) or Scholarly activity Leave (SPG 201.30-4), for one year or less, unless the individual and the unit agree in writing to an exception to this provision at the time the leave is granted and such exception is approved in writing by the Office of the Provost and Executive Vice-President for Academic Affairs; and (4) time spent on other scholarly leaves may be counted provided the individual and the unit so agree in writing at the time the leave is granted and such agreement is approved in writing by the Office of the Provost and Executive Vice-President for Academic Affairs.

Any change in title, rank, appointment fraction, or service that stops or starts the accumulation of University-wide Bylaw 5.09 time requires the prior written approval of the Office of the Provost and Executive Vice-President for Academic Affairs.

This policy shall not apply to persons holding associate professor and professor appointments that were specifically designated “without tenure” before July 1, 1986.

6.

POLICY ON ASSIGNMENT OF INSTRUCTION IN PERFORMANCE

The School has followed a consistent policy for many years with regard to the assignment of instruction in performance.

- A. There is no guarantee of a specific teacher to any specific student.
- B. There is no guarantee of a specific student to any specific teacher.
- C. We recognize human frailty, that personality problems sometimes occur between students and teachers. In such cases, every attempt will be made to assign students to teachers with whom they are compatible and vice versa.
- D. Each student must express a choice of teachers and give two alternates when appropriate.
- E. We try to respect the wishes of faculty members whenever possible.
- F. After all factors are considered, students must accept the teacher assigned to them and teachers must accept the students assigned to them.

7.
**POLICY CONCERNING TEACHING LOADS AND PART-TIME
EMPLOYMENT**

- A. The determination of teaching loads is a responsibility of the dean.
- B. The assignment of students to studio teachers is a responsibility of the dean.
- C. The assignment of faculty members to specific instructional duties is a responsibility of the dean but may be delegated to department chairs.
- D. The faculty of the School shall be primarily a resident faculty. Visiting, adjunct, and part-time faculty members shall be employed only when necessary.
- E. The authority for making part-time appointments of 50% or more lies with the dean and the Executive Committee as in the case of full-time appointments. The authority for making part-time appointments of less than 50% lies with the dean in consultation with the appropriate department chairs.
- F. Part-time appointments to the faculty shall be offered to the most highly qualified persons available. When possible, the same criteria shall apply in the selection of part-time faculty as apply in the selection of full-time faculty.
- G. For purposes of promotion and the awarding of tenure, a faculty member must hold a tenure-track appointment of 80% to 99% and shall be subject to the same procedures and criteria as a faculty member holding an appointment of 100%. (In accordance with the SPG, an appointment of at least 80% is mandatory for promotion and/or tenure consideration.)
- H. A faculty member holding an appointment of 50% or more shall be eligible for sabbatical leave. The appointment fraction during the leave shall be no higher than that during the lowest of the preceding seven years of employment.
- I. A full time member of the faculty may request that his or her appointment fraction be reduced to a minimum of 50%. The following guidelines will apply:
 - 1. The instructional load will be calculated as a fraction of 24 hours.
 - 2. Any subsequent increase in the appointment fraction sought by the faculty member will be made only at the option of the School. No increase or restoration can be guaranteed.
- J. The salary of a part-time faculty member shall normally be calculated as the number of hours employed times the hourly rate established for that faculty member.

8.

SABBATICAL LEAVE OF ABSENCE POLICY

<https://hr.umich.edu/sites/default/files/request-for-sabbatical-leave.pdf>

Important: Members of the regular instructional staff who have completed six years of service in professorial ranks at the University are eligible for a sabbatical leave. Please note that Scholarly Activity Leaves and Leaves Without Salary DO NOT count towards sabbatical equity (SPG 201.30-4, II. B. 6). Faculty and Staff Records will provide the dean's office with sabbatical and leaves of absence history in order to determine eligibility. Another important fact to remember is: "In order to be eligible for a retirement furlough, an individual must NOT have taken a sabbatical leave during the four years preceding the beginning date of the retirement furlough and have had a professorial appointment prior to January 1, 1984" ([SPG 201.30-2](#)).

A. Each faculty member of the School applying for a sabbatical leave will be expected to submit an outline of a program of research, study, performance, composition, or other creative work to be pursued during the leave that will enhance the effectiveness of the individual as a teacher, musician, dancer, or scholar.

B. Each applicant is expected to seek supplementary financial support from a non-School source to pursue the proposed activity in order to help off-set the cost of the leave to the School. A two to three page detailed proposal outlining plans for coverage (including teaching plans and proposed funding) is strongly recommended as part of a formal request.

C. University policy stipulates that the salary of an individual on sabbatical leave plus any stipend in excess of expenses received during the period of the leave shall NOT exceed the base salary of the individual during the period. If applicable, an appropriate adjustment will be made in the salary of any faculty member receiving such support.

D. Normally, only one faculty member at a time from a department will be granted sabbatical leave. If more than one request is submitted, the chair may be asked to prioritize the requests.

E. Normally, a department will be expected to absorb the instructional responsibilities of a faculty member on sabbatical leave without replacement staff or with minimal additional GSTA staff, with the following exceptions:

1. If a faculty member is on sabbatical leave for two terms at half salary, the half salary released or a portion thereof may be made available to provide a replacement.
2. Funds may be made available to provide a replacement when unique qualifications are required or when it is impossible for the other members of the department, even by teaching overloads, to absorb the responsibilities of the faculty member on leave.
3. A faculty member, in conjunction with their respective chair, is required to submit a detailed proposal of needed coverage noting possible candidates for coverage.

F. The faculty member on sabbatical leave is required to report in writing to the dean prior to beginning the leave any financial support promised or received from a non-School source

(including other UM sources), unless indicated on the “Request for Sabbatical Leave,” and, in either event, to furnish the dean, prior to beginning the leave, with a copy of the budget for any such support. If notification of support from a non-School source is not received prior to beginning the leave, this information must be furnished to the dean within thirty (30) days of such notification.

G. A faculty member on sabbatical leave who undertakes any outside employment for remuneration, other than the activities specified on the “Request for Sabbatical Leave” or the “Supplementary Information Form” must request approval from the dean.

H. In addition to the report submitted within 90 days of the end of the sabbatical leave, as required by the University, the School Executive Committee will require subsequent evidence that each publication and each specific activity projected for the sabbatical leave has been completed if the publication or activity has not been completed at the time of the initial report.

I. A budget for financial support promised or received from a non-School source (including other UM sources), must be provided to the dean prior to beginning the leave. If notification of support from a non-School source is not received prior to beginning the leave, this information will be furnished to the dean within 30 days of such notification.

J. (SPG.201.30-2) Upon completion of the sabbatical leave, the recipient shall submit a report of the results of the leave within 90 days following return from leave.

K. A faculty member granted a sabbatical leave is required to return to the University for a period of at least one year following the completion of the sabbatical leave, as mandated by the University.

IMPORTANT: DUE DATES FOR SABBATICAL REPORTS

Fall Term Sabbatical Reports (September 1 – December 31): DUE APRIL 1

Winter Term Sabbatical Reports (January 1 – June 30): DUE SEPTEMBER 1

IMPORTANT: Members of the regular instructional faculty who have completed six years of service in professional ranks at the University are eligible for a sabbatical leave. Please note that Scholarly Activity Leaves and Leaves without Salary DO NOT count towards sabbatical equity (SPG 201.30-4, II. B, 6). Faculty and Staff Records will provide the Dean’s Office with sabbatical and leaves of absence history in order to determine eligibility. Additionally, “In order to be eligible for a retirement furlough, an individual must NOT have taken a sabbatical leave during the four years preceding the beginning date of the retirement furlough and have had professorial appointment prior to January 1, 1984.” ([SPG 201.30-2](#))

School of Music, Theatre & Dance

Request for Sabbatical Leave SUPPLEMENTARY INFORMATION FORM

Name _____ EMPL ID Number: _____

A. Each faculty member of the School applying for a sabbatical leave is expected to submit an outline of a program of research, study, performance, composition, or other creative work to be pursued during the leave that will enhance the effectiveness of the individual as a teacher, musician, dancer, or scholar. Please describe in detail the activity outlined in "Request for Sabbatical Leave" and explain how it will contribute to your professional development. If the leave is requested for purposes of research, describe the nature of the research and explain its importance to your field of specialization. If the leave is requested for purposes of study, indicate the specific period of study, the content, and the person(s) with whom you will study. If the leave is requested for purposes of preparing a publication, describe the nature of the publication and submit a tentative table of contents. If the leave is requested for purposes of composition, list each composition you intend to devote time to by medium and approximate duration, and indicate amount of time you expect to devote to each composition during the leave as a percentage of the total time required to complete it. Use additional sheets as necessary.

B. I agree to furnish the dean, prior to beginning the leave, with a copy of the budget for financial support promised or received from a non-School source (including other UM sources) during the period of the leave. If notification of support from a non-School source is not received prior to beginning the leave, this information will be furnished to the dean within 30 days of such notification.

C. (SPG 201.30-2) "Upon completion of the sabbatical leave, the recipient shall submit a report of the results of the leave within 90 days following return from leave. The report shall be submitted to the dean who will acknowledge receipt of the report (via memo) and forward a copy of the acknowledgement memo to the chair and the Staff Records Office. The report shall include: (a) an account of activities during the leave, including travel itineraries, institutions visited and persons consulted; (b) a statement of progress made on the sabbatical leave program as proposed in the application and an explanation of any significant changes made in the program; and (c) an appraisal of the relationship between the results obtained and those anticipated in the sabbatical leave program statement. A staff member granted a sabbatical leave is required to return to the University for a period of at least one year following the completion of the sabbatical leave."

I agree to the terms and conditions stated herein.

Signed _____

UNIVERSITY OF MICHIGAN
SCHOOL OF MUSIC, THEATRE & DANCE

IMPORTANT PROCEDURAL NOTES AND ANSWERS TO
FREQUENTLY ASKED QUESTIONS

A. Sabbatical Request Forms are DUE in the dean's office by November 1. Therefore, applicant should submit a request to their department chair to allow sufficient time for the chair to review, sign, and forward the applicant's packet to the dean and Executive Committee by November 1.

B. Only tenured professors and associate professors may apply for a sabbatical. Tenure-track assistant professors under promotion and tenure review may NOT apply for a sabbatical until AFTER the Board of Regents has approved promotions.

C. The Sabbatical Request Form must be signed by the applicant and the chair/director of the department/unit BEFORE it is submitted to the dean and Executive Committee. If the chair/director is bypassed, the request will be returned to the applicant for completion.

D. Each applicant is expected to seek supplementary support from a non-School source to pursue the proposed activity in order to offset the cost of the leave to the School.

E. If the applicant has a paid appointment or Joint Appointment in more than one department, school, or college, the signature(s) of the relevant chair(s) or director(s) must also be obtained. Please check with departments to ensure all required signatures are obtained. The form should not be submitted to the dean until all relevant parties have signed.

F. If/when the Executive Committee approves a request, the applicant will receive a letter from the dean, and the chair/director will receive a copy.

G. Approval by the School Executive Committee IS NOT THE FINAL STEP in the process. After the requests are submitted to Faculty and Staff Records, they will be reviewed for: (1) eligibility (has the applicant taught 12 consecutive terms or 6 years—noting that Scholarly Activity Leaves and Leaves Without Salary DO NOT count toward equity); (2) location(s) during the sabbatical; (3) complete data as to what the applicant will be doing and hope to accomplish; and (4) all relevant financial documentation. Once the request passes review by F&SR, it is forwarded to the Provost's Office for review. Notification of approval will come be sent to applicants in late March or early April from the executive director of Human Resources and Affirmative Action—not from the dean's office.

H. If an applicant plans to request a leave of absence combined with a sabbatical, the leave should be taken BEFORE THE SABBATICAL to comply with SPG 201.30-2 (faculty are required to return to the University for one year AFTER a sabbatical ends). A LEAVE OF ABSENCE FORM must also be submitted and approved by the School Executive Committee.

I. Department Chairs that receive an administrative stipend for associated duties with this position, may NOT continue in the chair role, and must relinquish their administrative stipend during the

sabbatical period. Chairs leaving for sabbatical must suggest a replacement to the dean and Executive Committee, and the chosen replacement will receive the administrative stipend for the duration of the sabbatical period.

REQUEST FOR SABBATICAL LEAVE

PERSONAL INFORMATION		
Last Name:	First Name:	Middle Name:
UMID:	Department:	Date:
To the Chair/Dean: I hereby request a sabbatical leave of absence for the following period: <input type="checkbox"/> University Year 20____ <input type="checkbox"/> Non-University Year <input type="checkbox"/> Fall Term 20____ <input type="checkbox"/> Winter Term 20____		
If Non-University Year, enter Start Date:	If Non-University Year, enter End Date:	<input type="checkbox"/> Full year at Half Salary <input type="checkbox"/> Half year at Full Salary <input type="checkbox"/> Full year at greater than 50% salary (receiving grant/fellowship)
My plans for the use of this sabbatical leave, if it is granted, are indicated below: <i>Please indicate here the specific purpose which you have in mind and its relationship to your general scholarly interests and to scholarly work previously accomplished. If your plan involves a specific research project, please indicate to what extent progress has already been made and to what extent the sabbatical leave will assist you in bringing it to a conclusion. Please indicate, also, where you propose to carry on your work during the period of the leave.</i>		
I (please check applicable items): <input type="checkbox"/> Have <input type="checkbox"/> Applied for <input type="checkbox"/> 1. A Fellowship <input type="checkbox"/> 3. Other assistance in research <input type="checkbox"/> Have not <input type="checkbox"/> Received <input type="checkbox"/> 2. Grant-in-aid		
The source of funds is _____ Amount: _____		
There <input type="checkbox"/> is <input type="checkbox"/> is not an obligation to perform a service for the granting agency.		
The nature of the obligation is _____		
and the use of these funds materially aids my planned research program.		
I have read the standard practice regulations (on the following page) relating to the granting of sabbatical leaves and hereby affirm that my plans for the use of a sabbatical leave are in accord with these regulations, and I agree to return to the University for at least one year following the completion of my sabbatical leave.		
Signature of Faculty Member:	Print/Type Name:	Date:
Approved/CHAIR:	Print/Type Name:	Date:
Approved/CHAIR:	Print/Type Name:	Date:
Approved/CHAIR:	Print/Type Name:	Date:
Approved/DEAN:	Print/Type Name:	Date:
Approved/PROVOST:	Print/Type Name:	Date:

The original plus one copy of this form must be filed with the Dean. If the request is approved by the Dean, the original will be transmitted to Human Resource Records & Information Services, 4073 Wolverine Tower, 1281, recommending approval of the request.

STANDARD PRACTICE GUIDE 201.30-2 - RELATING TO SABBATICAL LEAVES OF ABSENCE

I. Policy

Sabbatical leaves of absence may be granted to provide the faculty member an opportunity for an intensive program of research and/or study, thus enhancing his/her effectiveness to the University as a teacher and scholar.

II. Regulations and Definitions

A. Eligibility: Members of the regular instructional faculty who have completed six years of service in regular professorial ranks at the University are eligible for a sabbatical leave.

B. Duration and Compensation

1. A sabbatical leave may be granted for an entire annual appointment period or for one-half of the annual appointment period. The annual appointment period is defined as either a twelve-month or a University-year period.
2. The faculty member granted a sabbatical leave for the entire appointment period shall receive one-half of the faculty member's regular salary. A sabbatical leave granted for one-half of the annual appointment period provides regular salary.

C. Extra Compensation During Sabbatical Leave

1. A member of the professorial faculty on sabbatical leave shall not render service for compensation in the University or another institution or enterprise. This does not preclude, however, the acceptance of a fellowship or other assistance in research. In each such case the source of additional funds and the fact that their use materially aids the planned research program of the faculty member shall be fully set forth in the request for sabbatical leave, or if not known at that time, prior to the effective date of the sabbatical leave.
2. Compensation received from acceptance of a fellowship or other assistance in research including the sabbatical leave salary may not exceed the regular salary of the faculty member.

D. Application for Sabbatical Leave: Application for sabbatical leave shall be made in writing and submitted to the Dean of the unit concerned not later than February 1 preceding the appointment year within which the leave is desired. The application must be accompanied by a statement of a well-considered plan for the sabbatical which includes its significance as a contribution to the professional effectiveness of the applicant and the best interest of the University.

E. Completion of Sabbatical

1. Upon completion of the sabbatical leave, the recipient shall submit a report of the results of the leave within 90 days following return from leave. The report shall be submitted to the chairman who will acknowledge receipt of the report (via memo) and forward a copy of the acknowledgment memo to the dean and the HRRIS Office. (In some instances, the dean's office may require a copy of the report.) The report shall include:
 - a) An account of activities during the leave, including travel itineraries, institutions visited and persons consulted.
 - b) A statement of progress made on the sabbatical leave program as proposed in the application and an explanation of any significant changes made in the program.
 - c) An appraisal of the relationship between the results obtained and those anticipated in the sabbatical leave program statement.
2. A faculty member granted a sabbatical leave is required to return to the University for a period of at least one year following the completion of the sabbatical leave.

F. Determination of Years of Service

1. Years of service determined by the number of annual appointment periods (i.e., six 12-month appointments, six University-year appointments, or a combination of both totaling six).
2. Leaves of absence without salary are not considered in determining years of service applicable toward the sabbatical eligibility requirement.
3. Leaves of absence with salary (e.g., sick leave) are considered in determining years of service.

G. Health and Life Insurance: Subject to, and consistent with the Group Health Insurance Plans and the Group Life Insurance Plan, coverage will be continued during a sabbatical leave of absence, unless specifically cancelled by the faculty member through visiting or writing the Benefits Office.

H. Retirement Plan: For each month the faculty member receives full pay, retirement contributions will continue at the full salary rate. For each month in which the pay received is one-half of the faculty member's full salary, contributions will continue based on the one-half full salary rate.

I. Disability Plan: Disability plan protection will continue during sabbatical leave.

J. Sick Leave Plan: Sick leave plan benefits will continue during sabbatical leave.

K. Vacation: Faculty members are not eligible for vacation allowance during the sabbatical leave.

L. Retirement Furlough Eligibility: In order to be eligible for a retirement furlough, an individual must not have taken a sabbatical leave during the four years preceding the beginning date of the retirement furlough.

Form HR36620 – Request for Sabbatical Leave (Reader Accessible)

University of Michigan

Personal Information

Last Name:

First Name:

Middle Name:

UMID:

Department:

Date:

Leave Period of Time

To the Chair/Dean: I hereby request a sabbatical leave of absence for the following period:

☐ University Year 20:

☐ Non-University Year

☐ Fall Term 20:

☐ Winter Term 20:

If Non-University Year, Enter Start Date:

If Non-University Year, Enter End Date:

Salary

☐ Full year at Half Salary

☐ Half year at Fully Salary

☐ Full year at greater than 50% salary (receiving grant/fellowship)

Sabbatical Plans

My plans for the use of this sabbatical leave, if it is granted, are indicated below. Please indicate here the specific purpose which you have in mind and its relationship to your general scholarly interests and to scholarly work previously accomplished. If your plan involves a specific research

project, please indicate to what extent progress has already been made and to what extent the sabbatical leave will assist you in bringing it to a conclusion. Please indicate, also, where you propose to carry on your work during the period of the leave.

Funding

Please indicate applicable items:

- ☐ I have applied for a fellowship
- ☐ I have received a fellowship
- ☐ I have applied for grant-in-aid
- ☐ I have received grant-in-aid
- ☐ I have applied for other assistance in research
- ☐ I have received other assistance in research
- ☐ I have not applied for or received financial assistance

The source of funds is:

The amount of funds is:

- ☐ There is an obligation to perform a service for the granting agency.

Nature of the obligation:

The use of these funds materially aids my planned research program.

- ☐ There is not an obligation to perform a service for the granting agency.

Signatures

I have read the standard practice regulations (on the following page) relating to the granting of sabbatical leaves and hereby affirm that my plans for the use of a sabbatical leave are in accord with these regulations, and I agree to return to the University for at least one year following the completion of my sabbatical leave.

Faculty Member

Faculty Member Signature:

Faculty Member Printed/Typed Name:

Faculty Member Date:

Chair 1

Chair 1 Signature:

Chair 1 Printed/Typed Name:

Chair 1 Date:

Chair 2

Chair 2 Signature:

Chair 2 Printed/Typed Name:

Chair 2 Date:

Chair 3

Chair 3 Signature:

Chair 3 Printed/Typed Name:

Chair 3 Date:

Dean

Dean Signature:

Dean Printed/Typed Name:

Dean Date:

Provost

Provost Signature:

Provost Printed/Typed Name:

Provost Date:

The original plus one copy of this form must be filed with the Dean. If the request is approved by the Dean, the original will be transmitted to Human Resource Records & Information Services, 4073 Wolverine Tower, 1281, recommending approval of the request.

Form HR36620 Revised 10/2020

Available at: hr.umich.edu/human-resources-administrative-forms

Standard Practice Guide 201.30-2 Relating to Sabbatical Leaves of Absence

Policy

Sabbatical leaves of absence may be granted to provide the faculty member an opportunity for an intensive program of research and/or study, thus enhancing his or her effectiveness to the University as a teacher and scholar.

Regulations and Definitions

Eligibility

Tenured members of the regular instructional faculty who have completed six years of service in regular professorial ranks at the University are eligible for a sabbatical leave. Where a faculty member is awarded tenure later than the sixth year of employment, a post-tenure sabbatical leave may, and ordinarily should, be provided after tenure; in these circumstances, eligibility for a second sabbatical leave will be determined as if the first sabbatical was taken after six years of service.

Duration And Compensation

A sabbatical leave may be granted for an entire annual appointment period or for one-half of an annual appointment period. The annual appointment period is defined as either a twelve-month or a University-year period.

The faculty member granted a sabbatical leave for the entire appointment period shall receive one-half of the faculty member's regular salary. A sabbatical leave granted for one-half of the annual appointment period provides regular salary.

Extra Compensation During Sabbatical Leave

A faculty member on sabbatical leave shall not render service for compensation in the university or another institution or enterprise. This does not preclude, however, the acceptance of a fellowship or other assistance in research. In each such case, the source of additional funds and the fact that their use materially aids the planned research program of the faculty member shall be fully set forth in the request for sabbatical leave or, if not known at that time, prior to the effective date of the sabbatical leave.

Compensation received from acceptance of a fellowship or other assistance in research including the sabbatical leave salary may not exceed the regular salary of the staff member.

Application For Sabbatical Leave

Application for sabbatical leave shall be made in writing and submitted to the dean of the unit concerned not later than February 1 preceding the appointment year within which the leave is desired.

The application must be accompanied by a statement of a well-considered plan for the sabbatical that includes its significance as a contribution to the professional effectiveness of the faculty member and the best interest of the university.

Completion Of Sabbatical

Upon completion of the sabbatical leave, the faculty member shall submit a report of the results of the leave within 90 days following return from leave. The report shall be submitted to the chair or dean, who will acknowledge receipt of the report in writing and forward a copy of the acknowledgment memo to the dean and to HR Records & Information Services. (In some instances, the dean's office may require a copy of the report.) The report shall include: a) An account of activities during the leave, including travel itineraries, institutions visited, and persons consulted; b) A statement of progress made on the sabbatical leave program as proposed in the application and an explanation of any significant changes made in the program; c) An appraisal of the relationship between the results obtained and those anticipated in the sabbatical leave program statement.

A faculty member granted a sabbatical leave is required to return to the University for a period of at least one year following the completion of the sabbatical leave. A faculty member who fails to satisfy this return obligation will be required to reimburse the University for the funds it contributed to the leave.

Determination of Years of Service

Years of service determined by the number of annual appointment periods (i.e., six 12-month appointments, six University-year appointments, or a combination of both totaling six).

Unpaid leaves of absence are not considered in determining years of service applicable toward the sabbatical eligibility requirement.

Leaves of absence with salary (e.g., sick leave) are considered in determining years of service applicable toward the sabbatical eligibility requirement.

Health and Life Insurance

Subject to, and consistent with the Group Health Insurance Plans and the Group Life Insurance Plan, coverage will be continued during a sabbatical leave of absence, unless specifically canceled by the faculty member through visiting or writing the Benefits Office.

Retirement Plan

For each month the faculty member receives full pay, retirement plan contributions will continue at the full salary rate. For each month in which the pay received is one-half of the faculty member's full salary, contributions will continue based on the one-half full salary rate.

Disability Plan

Disability plan protection will continue during sabbatical leave.

Sick Leave Plan

Sick leave plan benefits will continue during sabbatical leave.

Vacation

Faculty members are not eligible for vacation allowance during the sabbatical leave.

Retirement Furlough Eligibility

In order to be eligible for a retirement furlough, a faculty member must not have taken a sabbatical leave during the four years preceding the beginning date of the retirement furlough.

Maternity (Childbirth) and Parental Leaves

Maternity (childbirth) and parental leave benefits will continue during sabbatical leave.

9.

THIRD YEAR REVIEWS (Faculty Reviews)

(Reappointment Reviews for Clinical Faculty will follow this format)

These criteria and procedures shall serve as guidelines for the faculty, dean, and the Executive Committee of the School of Music, Theatre & Dance in making recommendations for appointment and reappointment to the faculty, and for promotion and/or tenure. It is the policy of the School that the faculty shall consist of the most highly qualified persons obtainable. Nothing in these guidelines shall be construed to prevent the dean and the Executive Committee from acting, within the Regents' Bylaws and University policies, in pursuit of this objective.

Compilation of a review dossier is based upon the Provost's *Promotion and Tenure Review Guidelines* and *Faculty Appointment Guidelines*. An explanation of the timeline is also included. Candidates and chairs/directors are expected to work together in this important endeavor.

Letters from tenured faculty colleagues are an important and necessary part of the review and will be solicited and collected by the Office of the Dean. Letters will remain confidential and will only be reviewed by the Dean and the School Executive Committee. Letters from external reviewers and former students are not solicited or required for reappointment review.

After the Executive Committee reviews a dossier, the Dean will provide written notification of reappointment and may meet with the faculty member. Reappointment terms will range from one to seven years, depending on the outcome of the review and initial appointment of the faculty member (assistant professors may only be appointed up to seven years; promotion and tenure review will generally take place in the sixth year of the appointment).

If non-reappointment has been recommended, the Dean will meet with the faculty member.

It is important to remember that a reappointment review does NOT take the place of a Faculty Activities Report, which must be submitted by all instructional staff each year by the date designated by the Dean.

A. ASSISTANT PROFESSORS

1. Initial three-year appointments will be reviewed in Winter Term of the third-year. Only in unusual circumstances will the School Executive Committee review third-year dossiers and vote on contract renewal in early September (see Explanations, *below*).

Explanations

(a) The University of Michigan mandates that notice of appointment or non-reappointment be provided to all regular instructional faculty no later than *September 15* of each academic year (example: if a contract expires May 31, 2006, a faculty member must be notified by September 15, 2005).

(b) Since regular instructional faculty contracts run from September 1 through May 31 of each academic year, it would not be possible for colleagues to participate in a review between June 1–August 31, which presents the risk of the School missing the September 15th deadline.

- B. ASSOCIATE PROFESSORS, WITHOUT TENURE, will be reviewed during the third-year of their appointment.
- C. LEO FACULTY will be reviewed in accordance with the University and School policies and procedures and the timeline contained in the LEO contract.
- D. CREATING DOSSIERS. Dossiers must be complete and in the order listed. Submit ELECTRONICALLY in Word or PDF format in its entirety. PDF documents will be acceptable for items such as copies of course evaluations, press releases, etc.

1. Information from the Chair

Chairs are expected to work with the candidates to create review dossiers of the highest standard and to ensure that dossiers are submitted to the Dean's Office no later than the assigned due date. Other responsibilities assigned to the Chairs are as follows.

- (a) Compile summaries of individual student feedback forms if summaries from the Office of Evaluations and Examinations are not available. Submit the summaries electronically.

2. Information from the Candidate

Each candidate should submit the dossier to the Dean's Office by the assigned due date. Each document must be separate from the others, titled as stated, and in Word or PDF format. Do not place any part of the dossier in a notebook or encase in any like item. Page numbers are acceptable on individual documents, but do not use headers or footers.

(a) **Curriculum Vitae** (See [Sample 1](#))

There is no set format for creating curriculum vitae, but examples of items not to include are dates of birth, ages, names of spouse and children, wedding date, etc. Even though most vitae contain part of the information noted below, separate documents are still required for each section.

(b) **Documentation of Teaching Effectiveness**

Because of the central role of teaching among the objectives of the School, documentation of teaching effectiveness is an important element in the review dossier of the faculty member. This documentation may take any of a variety of forms but must include the following:

(i) **Summaries of Student Evaluations**

Summaries of the individual student feedback forms, compiled by the chair, will be accepted as well as summaries from the Office of Evaluations and Examinations (please refer to its website for additional information: <http://www.umich.edu/~eande>). Candidates may not compile summaries of student feedback forms for the obvious reasons.

(ii) **Dissertation Committee(s) List**

(iii) **Teaching Statement with Teaching Portfolio** (See [Sample 2](#))

The teaching statement may not be longer than five pages in length. Other documentation may include copies of examinations administered; outlines, courses of study, prospectuses, reading lists, or statements of objectives, course requirements, or grading standards; or information concerning steps taken by the faculty member to evaluate and to improve the quality of teaching.

c) Creative and Professional Activity and Research Statement

A written statement may include any of a wide variety of activities, depending upon the field of specialization and the interests of the faculty member. It is expected that each member of the faculty will pursue research or professional activities appropriate to his or her field of specialization and will achieve recognition among his or her peers in one or more of such fields of activity. Evidence to be considered in the evaluation may include the following:

- publication as the author, co-author, editor, or translator of books, chapters in books, articles, reviews, monographs, and non-print materials, and reviews of these publications (publications subjected to substantial peer review prior to publication shall be more highly regarded than publications not subjected to such review);
- the conduct of research contributing significantly to the state of knowledge in the faculty member's field of specialization, and publication of the results;
- commissions for musical compositions;
- publication of musical compositions or arrangements;
- obtaining funds, either internal or external, for research or development or for instructional or program improvement;
- appearances off-campus as a speaker, conductor, soloist, actor, director, designer, ensemble member, panelist, or clinician, or as a director of a workshop or institute;
- presenting papers, speaking, participating on panels, presiding at sessions, adjudicating, performing as soloist, actor, director, designer, ensemble member, or conductor, or otherwise participating in the meetings or activities of professional associations;
- appearances off-campus as recitalist, actor, director, designer, guest soloist, or conductor with paid professional groups or in professional (paid) settings;
- participation in symposiums and other selective gatherings of distinguished colleagues;
- performances by off-campus groups or individuals of compositions by the faculty member;
- performances on commercial recordings by the faculty member or performances on commercial recordings of compositions by the faculty member;
- service as a consultant to or on behalf of educational institutions, professional associations, or government agencies when it is clearly an honor to have been selected;
- service as an adjudicator in major competitions when it is clearly an honor to have been selected; and winning of prizes, awards, fellowships, or other recognition.

(Note: Activities for which the faculty member receives compensation will be recognized provided that when possible he or she is identified as a member of the faculty of The University of Michigan and provided that the activity serves to enhance the prestige of the School or that the activity is likely to attract talented music students to the University. See also related policies concerning outside employment, including Regents' Bylaw 5.12.)

(d) Service Statement

Service refers to activities that utilize the professional expertise of the faculty member. Each member of the faculty is expected to render a reasonable amount of service to the School, to the University, to the profession or to professional organizations, and to the public at large during the preceding three years, or since the last review, together with activities involving service to government agencies, education or religious institutions, or charitable organizations. Evidence to be considered in the evaluation of service may include:

- effective service as an advisor to students;
- effective service as a department chair;
- performance of other administrative duties for the School;
- effective service on committees of the School and the University and participation in meetings and other official activities of the School and its departments;
- effective contributions to recruiting, fund-raising, or public relations efforts on behalf of the School or the University;
- service in elective or appointive leadership roles in professional associations at the national, international, regional, state, or local levels;
- appearances on campus, beyond the normal responsibilities of the faculty member, as a speaker, conductor, soloist, actor, director, designer, ensemble member, panelist, or clinician, or as a director of a workshop or institute; and
- utilization of the professional abilities and expertise of the faculty member without compensation or with nominal compensation on behalf of continuing education in music or in the service of government agencies, citizens' groups, educational or religious institutions, or charitable organizations at the local, state, national, or international levels.

It is not expected that a faculty member will engage in all of the activities listed under any category. Neither is it expected that a faculty member will be equally active in each of the categories. The question of what constitutes an appropriate balance of activities for a given faculty member should be discussed with the department chair and the dean. Each individual case will be considered on its own merits. The quality of the contributions is of greater importance than the quantity.

(e) Publications, Books, Manuscripts, Articles, Portfolios, Selected Book Chapters, etc.

This work will be provided to each internal reviewer via electronic submission. The Dean's Office will help determine which mechanism will be best suited for submission to the reviewers. Candidates should review their work with the Dean's Office prior to submission of materials.

(f) Checklist for Review Dossier

Submit one electronic copy.

**UNIVERSITY OF MICHIGAN
SCHOOL OF MUSIC, THEATRE & DANCE**

CANDIDATE

**CHECKLIST FOR REVIEW DOSSIER
SUBMITTED TO THE SCHOOL**

CANDIDATE:

CHAIR:

WHEN ASSEMBLING THE DOSSIER, PLEASE CHECK THE ITEMS INCLUDED AND SUBMIT THE DOSSIER AND THIS SHEET TO THE DEAN'S OFFICE. INCOMPLETE DOSSIERS MAY RESULT IN A DELAY OF THE REVIEW.

- Curriculum Vitae
- Documentation of Teaching Effectiveness
- Summaries of Student Evaluations
- Dissertation Committee List
- Teaching Statement or Teaching Portfolio
- Creative and Professional Activity and Research Statement
- Service Statement
- Publications, Books, Manuscripts, Articles, Portfolios, Selected Book Chapters, etc. (*Please do not provide playbills or programs.*)
- Material Electronically forwarded to the Dean's Office

NOTE: LETTERS FROM TENURED MEMBERS OF THE DEPARTMENT WILL BE SOLICITED AND COLLECTED BY THE DEAN'S OFFICE.

SAMPLE 1

CURRICULUM VITAE

CHRISTOPHER NELSON
Associate Professor of Conducting
University of Michigan
Department of Conducting
2300 Moore Building
Ann Arbor, MI 48109-1285

Email Address: cnelson12@umich.edu

Phone: (734) 693-5513

Fax: (734) 693-0007

Academic Degrees:

B.A.	1979	Columbia University
M.A.	1990	Indiana University
Ph.D.	1995	Northwestern University

Professional Record:

1998 to present	Associate Professor, with tenure, Department of Conducting University of Michigan School of Music
1998 to present	Program Director, Center for Creative Arts University of Michigan School of Music
1995 to 1998	Associate Professor, without tenure, Department of Conducting University of Michigan School of Music
1985 to 1995	Clinical Associate in Conducting Institut National des Arts, Paris, France

Teaching:

Courses Taught at the University of Michigan:

Introduction to Performance Studies (Graduate Seminar)
Comparing Apples to Oranges (Undergraduate)
Undergraduate Seminar with Upper Level Writing Requirement]

Courses Taught at the Institut National des Arts:

Conducting 1 and 2
Acting 1
Baton 1

Research Interests:

Epic and Orality in Performance: The Poetics and Politics of Stage Adaptation.
Theatre and Popular Performance, and the use of tropes in Central Africa.
Interculturalism and the Performance of Conducting.
Function of Popular and Informal Media in Visual Arts, Music, and Performance dealing with social and political criticism.

Grants:

Research Grant from the University of Michigan Office of the Vice President for Research - "Mvett, Yesterday and Today," Preliminary Field Trip Research in Gabon, \$10,000.00 with complement from Office of the Vice-Provost for Academic Affairs, \$5,000.00: Summer 2001

Publications:

Works in Progress:

"Masks, Masquerades, and Memory in Jean Genet's *Les Negres* and *Le Balcon*." A manuscript. Working title. A manuscript started in 2001 as a result of my preparation to direct Genet's *The Balcony* with the University Productions, combined with the outcomes and findings of the directorial experience.

Completing an article on preliminary findings of field trip (Summer 2001) in Central Africa: "Mvett: Performing Ancestral Myth in Modern Settings."

Book Manuscript:

"*Socio-Political Dynamics of Grassroots Theatre and Performing Arts in Central Africa: Rumor, Rhetoric, and Hidden Critique*." Under review for publication with Iowa University Press.

Book Chapters:

"Congolese Theatre and the Political Body." *Congolese Literature and the Political Body*. Edited by Ngwarsungu Chiwengo. Forthcoming.

"African Art, From a Question Mark to 'Reprendre': An Assessment." *Nomen est omen. L'Afrique au miroir des littératures et des sciences humaines*. Edited by Mukala Kadima-Nzuji and Sélom Gbanou Komlan (Brussels and Kinshasa: CEDILIC, June 2002). This essay is a contribution to a book in honor of V.Y. Mudimbe on his 60th Birthday.

Articles:

"Revisiting Wole Soyinka's *A Dance of the Forests*: Postcolonial Renegotiation of Collective Memory. Submitted to *Theatre Journal*. (Under review) 2005.

Papers Presented and Invited Colloquia:

2004 "Poetics of Memory in African Drama: Wole Soyinka and Sony Labou Tansi." 47th Annual Meeting of the African Studies Association (ASA) in New Orleans, LA, November 12, 2004. Also, Chair of the Panel.

"Audiencing Popular Performance in Two Central African Contexts: Kinshasa (D.R. Congo) and Libreville (Gabon)." The Fourth Annual Interdisciplinary Conference on Qualitative Research at the University of Michigan, Ann Arbor, MI, May 7, 2004.

2003 "*BICHINI BIA CONGO*: Keeping and Popularizing Our Roots in Diasporic America" 46th Annual Meeting of the African Studies Association (ASA) in Boston, MA, October 31, 2003.

"Paradox of Authenticity and 'Animation Politique'." The 2003 Colloquium Series on "Politics, Culture and the Arts" at Yale Center for International and Area

Studies, Yale University Council on African Studies: April 3, 2003 [With
Bob White of the University of Montréal]

Creative and Professional Activity:

- 2005 New York State School Music Association Conductors Chorus
Maryland/District of Columbia/Delaware American Choral Directors Association
- 2004 West Virginia Collegiate Honors Choir
Colorado TTBB All-State Choir
- 2003 Texas TTBB All-State Choir
California State SATB Honors Choir

Artistic Productions as a Director:

- The White Black Man* by OyamO, at the Detroit Plowshares Theatre Company in April-May 2003. Performances were held at Marygrove College Theatre (May 8 through June 10, 2003).
- The Balcony* by Jean Genet, with the students of the Department of Theatre and Drama, produced by the University Productions, the University of Michigan, in Trueblood Theatre: March 28-31, and April 4-7, 2002.
- Liyanja* (Congolesse Epic) adapted for the American Stage by Charles OyamO Gordon in the University of Michigan Department of Theatre and Drama in association with the "Bichini Bia Congo Dance Theatre Company" in Trueblood Theatre From November 10 to 14, 1999.

Other Artistic Experiences:

- Director, Recording of selected finalist plays on the behalf of the Inter-African Drama Competition organized by Radio-France Internationale in 1982, 1984, and 1986.
- Actor in many productions.
- Stage Manager

Professional Associations:

- Member of African Studies Association
- Member of American Society for Theatre Research
- Member of Theatre Communication Group
- Member of International Federation of Theatre Research

Languages:

- English, French, Lingala, Kikongo (native), Italian (working proficiency).

SAMPLE 2

TEACHING STATEMENT **COURTESY OF PROFESSOR BETTY ANNE YOUNKER**

My philosophical and pedagogical beliefs about music teaching and music making have evolved over the last two decades from being a musician, researcher, and teacher. From those experiences, two beliefs have shaped not only my teaching but also my research hence connecting both to each other interdependently. The first is that music education should nurture each and every student's ability to become informed consumers and participants of music making. The second is that students and teachers should be recognized as active agents in their learning. These beliefs provide a platform for shaping environments in which musical thinking is enabled.

As a public school band and choral conductor, and general music teacher, my pedagogy was philosophically rooted in the concept of aesthetic education that for me articulated what I experienced while making music. My pedagogy, therefore, was driven by ways to heighten students' musical experiences. The focus was the expressiveness of music in the absolute sense, with an acknowledgement that music served functional needs in a variety of contexts. I quickly learned that, when faced with a diversity of learning styles and musical potentials, attempting to heighten a student's musical experiences through one means or in one way was challenging on many levels. One way to address those issues was to involve students in a variety of music making experiences, including listening, performing, improvising, and composing and to accept the levels of meaningfulness and abilities at the individual level. During this time, I became more curious about what it meant to 'think in sound' and think creatively while making music, specifically when composing. This curiosity in my teaching generated the beginnings of my research program (see Research Statement for specifics). As well, this curiosity remains rooted in the belief that we all possess the ability to engage with the expressiveness of music and that this ability can be nurtured at some level regardless of learning, motivation, and musical potential. I continue to struggle, however, with whether or not music education programs provide the most effective means for each student to achieve his or her musical potential and to become independent musical thinkers who in turn can become informed audience members.

The second belief is based on my view of music education students as partners in learning environments. Students bring to the learning environment experiences in which understandings have been constructed and are open to change and growth. These understandings need to be recognized and given room for application in present learning situations so that students can make sense of the understanding that is being constructed. Such environments recognize students as active agents who are vital partners in their process of learning.

The logic of making decisions about what should be learned when, and how the learning should occur is as much centered on the student, as it is the content. As the informed music educator, it is my responsibility to construct an environment in which decisions about content and pedagogy are made as much by me as they are in consultation with my students. If I believe my students at the university level should provide such environments for children, then I need to ensure they experience those kinds of environments in my classroom. I strive, therefore, to have my teaching reflect these two broad beliefs and am affirmed when students' comments in course evaluations reflect such beliefs (see Course Evaluations for specifics).

One important interconnection between my teaching and research is how each informs the other. I have framed my research so that it requires me to work with students in public schools, the same population my students will encounter after graduation. Since the fall of 2002, I have volunteered at and used as a research site a fifth-grade music classroom for which composition is the curriculum (see Research Statement for specifics). In addition, I was invited to spend two mornings a week, during March-May 2004, in a fifth-grade classroom to guide students in composition activities. Other teaching experiences include working with middle school flute players at summer camps, adjudicating at band and solo/ensemble festivals, visiting schools with students as they complete their methods class, observing student teacher,; and collaborating in research projects with local music teachers (see CV for specifics). Such experiences keep me informed about current teaching and social situations within the public school system and either substantiate or negate my reflections of own public school teaching experiences.

Finally I strive to ensure that my pedagogy reflects the two beliefs described above. As I continue researching, teaching, and making music, I am committed to grow in each of these areas, and strengthen the relationships between what I do and how my students understand music and music education. Fuelling this goal is the desire to empower students to be independent musicians and thinkers about music and music education in hopes that the field can be enriched by their music making and teaching. My Course Evaluations offer evidence that I have achieved this goal.

TEACHING PORTFOLIO

COURSES TAUGHT

As a member of the music education faculty, my teaching load includes courses that are directed at philosophical, psychological, curricular, and pedagogical aspects of music education. Through my experiences as a researcher, student, and practitioner in each of these areas, I bring a wealth of theoretical and practical insights to the classroom. Throughout each course, I provide practical experiences that are supported by research thus reflecting a grounded understanding of how young people make and understand music, and why music education needs to be a valued part of the public school system. Specifically my teaching responsibilities since my hire at the University of Michigan have included, at the graduate level *Philosophy/History of Music Education* (PROSEM 501), *Supervision and Administration of Music Education* (MUSED503), and *Psychology of Music Teaching and Learning* (MUSED 510); and at the undergraduate level, *Elementary General Music Methods/Practicum* (MUSED 341/349), *Secondary Choral Methods* (MUSED 340), and *Teaching of Music by Elementary School Teachers* (MUSED 408). In addition, I coordinated the Student Teaching Program from 2000-2003, and since Fall 2003 have co-coordinated the Student Teaching Program with Prof. Colleen Conway.

COURSE DESCRIPTIONS (see *Course Syllabi* for detailed descriptions)

Graduate Courses

In all of the graduate courses, I expect students to come to class prepared to discuss the content of required readings, and ask and pose questions that arise from those readings. I limit my lecturing to clarifying concepts as presented in the literature and not understood by all students. I often call upon students to offer their understandings before, during, or after my rendition to gain insight to their perceptions. Most often, I structure the class by posing questions and either responding or having students respond to what has been said and asked. The main means of informing and being informed then is through dialogue that is generated by questioning and critiquing. For students to show their understanding of the content and make connections to practice, I organize assignments around projects and papers that provide students opportunities to analyze and synthesize, critic, create, and apply rather than relying on a mid-term and final exam.

- *Philosophy/History of Music Education*: PROSEM 501, Summer 2000; Fall 2000, 2001, 2004

The underlying purpose of the course is to provide students opportunities to critically think, write, and discuss about philosophical issues that face our profession. To facilitate such thinking and writing, students must become familiar with the extant literature within the philosophy of music education community and be aware of philosophical writings in the general educational arena. This literature has vastly changed over the last twenty years and continues to change, thus the reading list has varied from year to year (see Course Syllabi PROSEM 501 for specifics). Finally, students must begin to formulate philosophical statements that reflect informed justifications for music education within formal and informal educational contexts.

- *Supervision and Administration of Music Education*: MUSED503, Winter 2001, 2002

My first experiences of teaching this course were here at the University of Michigan. To prepare myself, I consulted courses I had completed in areas of supervision and curriculum, relevant articles and books, and colleagues who taught the class at like institutions. My decision to base the course on curricular issues within contexts of teaching, supervising, and administering stemmed from the need for students to have a holistic perspective about devising and implementing music education programs within supportive environments. To understand the supervision and administration of music education programs, one needs to understand why, how, and when such programs are devised and realized, in all aspects of curriculum.

- *Psychology of Music Teaching and Learning*: MUSED 510 Winter 2004

My first experience of teaching this course was also here at the University of Michigan. This course is designed to introduce areas within the field of psychology of music teaching and learning from developmental, social, creative thinking, and cognitive constructs. The field of psychology of music has grown in the last ten years, particularly within the area of social psychology and creative thinking; therefore necessary for readings to cover the breadth of the field.

Undergraduate Courses

As with the graduate courses, I expect students to come to class prepared for discussions and activities. What they have read is put into action throughout the class via a variety of means, e.g., composing, listening, discussing, performing, teaching, singing, and moving. Evidence of understanding is revealed through teaches, performances, compositions, discussions, and written projects. Interwoven throughout the course are responses to and discussions about case studies as presented in the required textbooks. These case studies are from the field thereby providing students opportunities to solve ‘real’ problems. During the first class, students enter a discussion about the weighing of grades and make decisions about how much weight should be given to each assignment. This places them in the role of an evaluator, a role that will be required of them as they enter the music teaching profession. Throughout the course, students must acquire the necessary knowledge, skills, and resources for immediate application in teaching situations and begin to develop a philosophical viewpoint about the value of our discipline in community and public schools settings.

- *Elementary General Music Methods/Practicum*: MUSED 341/349, Fall 2000, 2001, 2002, 2003, 2004

The underlying philosophy of MUSED 341 is to acquire understandings about the complexities of teaching general music in an elementary setting, and also acquire skills to realize such complexities. These complexities are interwoven in philosophy, psychology, methodology, pedagogy, and assessment. The structure of the course is based on a curriculum document; thus, students embark on readings, reflections, and discussions about philosophical, psychological, methodological, and pedagogical issues. Throughout, issues related to assessment and evaluation are investigated.

In addition, students practice the theory through ‘teaching’ their peers while being videotaped and completing projects that require analysis and synthesis, evaluation, and application of the knowledge. In terms of the ‘teaches’ each student is to reflect on the process immediately after the episode while peers evaluate the ‘teach’, and then write another reflection after viewing the videotape.

The course is divided into two parts: (1) four hours per week during which students discuss and practice the various understandings, and (2) two hours per week during which students observe and teach elementary-aged students in school-based general music programs. This part is crucial if students are to practice the craft of music teaching, reflect while teaching, and reflect on their experiences.

I continue to explore ways in which multiple layers of content can be experienced in a sequential manner, and reflect on what content is necessary and to what depth and breadth each layer of content should be examined and experienced (see Course Syllabi MUSED 341 for variations of sequence and content). As well, although I acknowledge the value of students realizing ‘teaching episodes’ in front of peers while being videotaped and reflecting on those videotapes, I struggle with the realism of such episodes and explore alternatives. Whatever alternatives I may adopt, the requirement to reflect on a ‘teaching episode’ immediately after the experience and again after viewing the videotape will remain constant. This process is critical in the development of one’s reflective practice.

• *Teaching of Music by Elementary School Teachers*: MUSED 408, Spring 2002, Winter 2003

This course is designed for elementary education majors who will be classroom teachers, thus students who are non-music majors. The underlying goal for the course is to enable future educators to gain a comfort level that is needed to bring music into their classrooms. In addition, I aim to raise their awareness of the issues related to music in the schools and how music could be integrated into the classroom.

The diverse level of skills, knowledge, and experiences with regard to music represent, for me, the elementary general music class in which students differ in terms of motivation, skills, experience, and potentials. This challenging, and yet educational experience has forced me to re-visit how students learn, and perceive and respond to music. There are processes involved when learning music that are not age-specific. This is becoming evident in the research and substantiated by the many experiences I have had teaching music to young musicians ranging from three to seventy-three years of age. Therefore, issues that are brought to my attention are similar to issues music education students will face when teaching beginning musicians. In preparation for the non-music majors’ class, I uncover the musical skills and knowing that we as musicians do at the automatic stages and think through initial steps of learning when planning and teaching. This strengthens my practice and reminds me of the detail, at the micro level, that needs to be explicit when teaching music education students the process of pedagogy.

• *Secondary Choral Methods*: MUSED 340, Winter 2001

MUSED 340 was typically taught by Dr. Sandra Snow and was developed by her while at the University of Michigan. I taught it while she was on leave during Winter 2001 and had access to her materials. Based on the strength of the course and the fact that I was to teach it for only one term, I followed her course syllabus. I was able to bring to the class my experiences as a choral conductor, a vocalist in solo and choral settings, and knowledge about the philosophical grounding for this course, that is, reflective practice.

•*Coordinating the Student Teaching Program/Student Teaching Seminar (2000-2003)* • *Co-coordinating the Student Teaching Program/Student Teaching Seminar (2003-04)*
MUSED 345-349; MUSED 375-379

As coordinator of the Student Teaching Program (2000-2003) and co-coordinator of the program for 2003-2004, I worked closely with students during the semester before they student taught. My responsibilities included (1) guiding students through the application process, (2) doing informal audits in consultation with the register, (3) reviewing applications for completeness, (4) advising students when requirements for the degree and applications are not completed, (5) working with the School of Education, (6) coordinating placements with area teachers, (7) coordinating observations by faculty and GSIs, (8) coordinating observation evaluations, and (9) working with GSIs as they observe. It was a tremendous load and took approximately 10-20 hours per week. Over the past year, in cooperation with Prof. Colleen Conway and a GSI (Clay Walcholz), this job took approximately 5-8 hours per week. Observing student teachers varies semester-to-semester depending on the number of students in the field. On the average, I have observed between 6-12 students per semester, with each observation requiring three hours of time. It is critical that faculty observe the students as it provides opportunities to build relationships with local teachers, observe programs, and provide support for the student teachers.

Students attend Student Teaching seminar once a week during their student teaching experience. This provides opportunities for students to dialogue about their experiences in an environment that is trustworthy and supportive. In addition, it allows students to explore topics that have not been offered to them in previous music education classes.

Topics that are suggested by me and augmented or deleted by students are covered through discussion and are led by guest speakers or me. Such topics are selected by the student teachers at the beginning of the semester from a list that has been generated over the years, one that is based on research and suggestions from student teachers in previous semesters. Lastly, students have two opportunities during the semester to meet individually with me to discuss issues that are specific to their situations.

Two new aspects of the seminar during Winter 2003 involved students writing reflective comments about one aspect of their teaching that occurred over the previous week. At mid semester, students were asked to identify any threads that appeared and to compare and contrast comments that had been written since the beginning of their student teaching experience. This allowed students to identify growth in their ability to reflect on their teaching and to identify issues that were pertinent throughout the semester. The other aspect involved students keeping repertoire lists of what their students played. These lists were typed and given to the students as they exited the program. As director of seminar during Winter 2004, I involved students in both of these activities. Overall, the semester of student teaching is a culminating experience as students begin to develop a teaching persona.

SUMMARY

I have made strong contributions to the education of students at the University of Michigan over the past four years (see Course Evaluations for specifics). I bring to the classroom a wealth of experiences and knowledge about philosophy, psychology, methodology, pedagogy, and assessment and evaluation. I enjoy the process of education and continue to marvel at what each student brings to the classroom. It is a privilege to work with such bright and motivated young

adults. My goals are to continue to learn, witness, reflect, and grow as a reflective practitioner, particularly when leading students in discussions and, on a broader level, empowering them to become independent thinkers.

THE TEACHING PORTFOLIO

By

Matthew Kaplan, Instructional Consultant
Center for Research on Learning and Teaching

At institutions across the country, faculty are creating opportunities to exchange ideas on teaching and, in the process, becoming more reflective about their teaching. In part, this is a response to national discussions about the false dichotomy that is often drawn between teaching and research. To move beyond this debate, there have been calls for expanding the idea of scholarship to include certain teaching products, as well as research products (Boyer, 1990). Three strategies for taking a scholarly approach to reviews of teaching are ones that are common to discussions of research as well (Shulman, 1993). First, scholarship is firmly grounded in the disciplines, and a scholarly approach to the review of teaching would focus on the teaching of a specific discipline. Second, just as research becomes scholarship when it is shared, faculty would need to begin making teaching community property. And finally, scholarship often involves making judgments about faculty work, which, for teaching, would mean that faculty would become more involved in reviewing each others' accomplishments in teaching and learning.

The teaching portfolio is one of the tools faculty can use to document their scholarly work in teaching. This Occasional Paper contains a discussion of the nature and purpose of the teaching portfolio (and its offshoot, the course portfolio) and suggestions for how individuals and units can use portfolios most effectively.

What Is a Teaching Portfolio?

A record of accomplishments in teaching

Based on the model of the portfolio kept by artists and architects, the teaching portfolio contains evidence of a faculty member's achievements in teaching: "What is a teaching portfolio? It includes documents and materials, which collectively suggest the scope and quality of a professor's teaching performance. . . . The portfolio is not an exhaustive compilation of all of the documents and materials that bear on teaching performance. Instead, it presents *selected information* on teaching activities and *solid evidence* of their effectiveness" (Seldin, 1997, p. 2).

Documentation in context

The portfolio should be more than a simple collection of documents. It also should contain reflective statements on the material included and on the faculty member's approach to teaching and student learning. The reflective portions of the portfolio help set the documents in context for the reader; the materials provide evidence to back up the assertions made in the reflective statement.

What Might Go into a Portfolio?

When considering the contents of a portfolio, faculty must distinguish clearly between being *representative* and being *exhaustive*. Attempts to create an exhaustive compendium of an instructor's work in teaching run the risk of becoming exhausting, both for the person collecting the materials and for any readers who might choose (or need) to respond to the portfolio. Furthermore, the attempt to be completely comprehensive can turn the project of developing a portfolio into a paper chase. Such a large collection of documents makes it difficult to maintain the reflective aspect of the portfolio, which is one of its chief purposes and advantages.

The portfolio should, instead, be representative of the various aspects of a faculty member's teaching. This means looking beyond the most obvious part of teaching—what goes on in the classroom. While the activities and interactions with students in class are important, they do not fully reflect faculty work with teaching. Other items might include planning courses, assessing student learning, advising students (in office hours or in larger projects such as theses and dissertations), curriculum development and assessment, supervising student research, working to improve one's teaching, and publishing articles on teaching and learning.

One way to categorize items that a faculty member might include is to divide them into three categories based on the source of the item: materials from oneself (e.g., reflective statements, descriptions of course responsibilities, syllabi, assignments), materials from others (e.g., statements from colleagues who have observed or reviewed teaching materials, student ratings, letters from students or alumni, honors or recognition); and products of good teaching (student essays or creative work, a record of students who have succeeded in the field, evidence of supervision of theses). Some of these sources may be more appropriate for certain aspects of teaching than for others. See Appendix A for a more comprehensive list.

Purposes of Portfolios

Self-reflection and improvement

Assembling a portfolio involves reflection. Most portfolios include a reflective statement that can cover topics such as the instructor's approach to teaching and learning, his or her assumptions about the roles of students and teachers, and goals the instructor expects students to achieve (Chism, 1997/98). In addition, faculty need to collect documents that support their reflective statement, a process that also involves reflection (selecting some items over others, reviewing past work, etc.). As a result, the portfolio is well suited to helping faculty examine their goals for teaching and student learning, and compare those goals to the reality of their praxis.

The comparison between the ideal and the real is the first step in the process of improving teaching. Instructors can gain a sense of how effective their teaching is and how they could improve from a variety of sources: student ratings of instruction, mid-semester feedback, self-perception, discussions with colleagues, etc. By constructing a portfolio, faculty will look systematically at the various sources of data about their teaching; therefore, they can make more informed decisions about teaching strengths on which they wish to build and problems in their teaching they wish to address. The reflection and improvement process can be further enhanced when faculty work together (in pairs or small groups) as they develop their portfolios. Colleagues can offer support and advice, exchange new ideas and solutions to problems, and broaden each other's views of the teaching and learning process. Moreover, such exchanges help create a community of scholarship around teaching that is based on a concrete, discipline-specific context.

Decision-making

Accomplishments in teaching are becoming a more important factor in administrative decisions such as tenure, promotion, reappointment, and merit increases. The teaching portfolio enables faculty and departments to insure that an instructor's work in teaching is judged using multiple forms of evaluation, seen by multiple eyes. This is important, since no one perspective can accurately represent faculty teaching. For instance, students can evaluate certain aspects of teaching that focus on classroom interactions, such as organization, rapport, and ability to stimulate discussion. On the other hand, faculty colleagues are in a position to judge items that are beyond the expertise of students, such as how up-to-date material is, how well a course is integrated into the curriculum, etc.

Self-evaluation and reflection are also important, especially for providing a context for understanding data about teaching effectiveness. The portfolio as a whole gives individual faculty a sense of control over the evaluation process. In addition, departments that encourage faculty to submit portfolios will need to have discussions about what, if any, documents will be required and what will be left up to the individual faculty; how long the document can (or should) be; and how much reflection is required. Such discussions provide a useful venue for creating a shared sense of what constitutes good teaching in a department.

Graduate student portfolios

Graduate students who apply for faculty positions commonly use portfolios because many colleges and universities now require job applicants to provide some proof of teaching experience. Graduate students are turning to the portfolio as a way of organizing their work in this area. Currently, the requirements vary widely among schools. Some require just a list of courses taught or a reflective statement on teaching, and some ask for specific items (such as proposed syllabi for certain types of courses, student ratings, demonstrations of commitment to undergraduate research, etc.). The earlier in their teaching careers that graduate students begin to think about their portfolios, the more chance they will have to retrieve the documents they find most representative of their accomplishments. Aside from its value for the job market, the portfolio often represents the first time graduate students have had the opportunity to reflect on their teaching, which they often find both challenging and rewarding.

An Alternative to the Teaching Portfolio: Course Portfolios

A variation on the teaching portfolio is a course portfolio. As the name implies, these documents focus on a specific course, with a special emphasis on student learning. A course portfolio, therefore, is analogous to a scholarly project. It includes sections on goals (intended student learning outcomes), methods (teaching approaches used to achieve outcomes), and results (evidence of student learning) for a specific course.

Moreover, it is the relationship or congruence among these elements that makes for effectiveness. We expect a research project to shed light on the questions and issues that shape it; we expect the methods used in carrying out the project to be congruent with the outcomes sought. And the same can be said of teaching. By encompassing and connecting all three elements – planning, implementation, and results – the course portfolio has the distinctive advantage of representing the intellectual integrity of teaching. (Cerbin, 1993, p. 51)

Course portfolios offer advantages for the person developing them as well as for the curriculum. For the faculty member developing the portfolio, the advantages are similar to those

of assembling a teaching portfolio (e.g., self-reflection and a chance to compare intentions with outcomes), but with more in-depth insight into the impact of teaching on students. For departments, course portfolios can provide continuity and reveal gaps in the curriculum. For example, a course portfolio becomes a record of the purpose and results of a course that can be passed on to the next person in charge of that course or to the faculty member who teaches the next course in a sequence. By examining a set of course portfolios, a curriculum committee can gain an overview of what students are learning and what is missing, which could help with the process of curriculum revision.

How are Portfolios Evaluated?

Just as there is no one model for a teaching portfolio, there is no one method for evaluation. Again, this is a strength of the portfolio, since it means that individual units will need to develop criteria for evaluation and make them relevant to faculty in that unit. The process of deciding on criteria can also help to clarify what faculty in that unit value with respect to teaching. For one example of an evaluation scheme, see Appendix B.

As units develop criteria for evaluating portfolios, they should first consider the ways they plan to use the portfolio. Will portfolios be limited to faculty being considered for tenure or promotion or for instructors nominated for teaching awards, or will all faculty prepare a course portfolio in preparation for a department-wide curriculum review? These purposes differ and so should the requirements for the portfolios involved.

Once the purpose is clear, faculty will probably want to create guidelines for assembling portfolios. While it is important to maintain the flexibility of the portfolio, it is also necessary to insure some degree of consistency in order to make evaluation fairer and more reliable. Faculty might establish consensus on required items, such as a page limit for the overall size of the portfolio, the focus (a single course, an overview of teaching, or a combination), opportunities for reflection, or a template (so that faculty do not need to worry about format and can concentrate instead on the content). Ideally, such guidelines will be established with input from potential reviewers in the unit as well as those faculty who will be under review.

Advantages of Portfolios

In the AAHE monograph *The Teaching Portfolio: Capturing the Scholarship of Teaching*, the authors describe four main benefits of the teaching portfolio (Edgerton, Hutchings, & Quinlan, 1991, pp. 4-6). Course portfolios have similar attributes.

1. *Capturing the complexity of teaching*

- Portfolios contain evidence and reflection in the context of what is being taught to whom under what conditions.
- The portfolio can present a view of a teacher's development over time.
- Entries in the portfolio can be annotated to explain their significance for the faculty member's teaching.

2. *Placing responsibility for evaluation in the hands of faculty*

- Faculty are actively involved in presenting their own teaching accomplishments so that evaluation is not something done "to" them.
- Portfolios extend evaluation beyond student ratings and encourage peer review and collaboration.
- The need to evaluate portfolios can lead to discussions on standards for effective teaching.

3. *Encouraging improvement and reflection*

- Assembling a portfolio involves reflection.
- Because they involve reflection, portfolios allow faculty to compare their ideals with their actions, a first step in efforts to improve.
- A faculty member's portfolio reveals both products (evidence) and processes (reflection) of teaching to colleagues who read it.

4. *Fostering a culture of teaching*

- Portfolios can provide a rich and contextualized source of evidence about teaching achievements that can be used for a variety of purposes, including evaluation, improvement, summary of faculty careers, and defining "good teaching" in a department.

How Can Faculty Get Started?

Faculty can begin at any time to collect materials for their portfolios. At first, this process might entail simply saving relevant materials related to teaching so that they are readily accessible for review. At some point the faculty member will need to sort through the materials and decide which ones best represent his or her teaching accomplishments. Often this process is enhanced when faculty collaborate with each other as they build their portfolios.

CRLT offers campus-wide workshops on teaching and course portfolios, and we can bring a customized workshop to departments. The focus of the workshop is to help faculty develop a clear idea of what a portfolio is and what items it might include and to give faculty an opportunity to begin a reflective statement on teaching. When workshops are conducted in a department, faculty can begin to answer the question, "What is good teaching in our department?" CRLT also provides one-on-one consultations for individual faculty who are working on their portfolios and for units as they develop a systematic approach to portfolios.

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POSSIBLE ITEMS FOR INCLUSION

Faculty members should recognize which of the items that might be included in a teaching dossier would most effectively give a favorable impression of teaching competence and which might better be used for self-evaluation and improvement. The dossier should be compiled to make the best possible case for teaching effectiveness.

THE PRODUCTS OF GOOD TEACHING

1. Students' scores on teacher-made or standardized tests, possibly before and after a course, has been taken as evidence of learning.
2. Student laboratory workbooks and other kinds of workbooks or logs.
3. Student essays, creative work, and project or fieldwork reports.
4. Publications by students on course-related work.
5. A record of students who select and succeed in advanced courses of study in the field.
6. A record of students who elect another course with the same professor.
7. Evidence of effective supervision of Honors, Master's or Ph.D. theses.
8. Setting up or running a successful internship program.
9. Documentary evidence of the effect of courses on student career choice.
10. Documentary evidence of help given by the professor to students in securing employment.
11. Evidence of help given to colleagues on teaching improvement.

MATERIAL FROM ONESELF - Descriptive Material On Current And Recent Teaching Responsibilities And Practices.

1. List of course titles and numbers, unit values or credits, enrollments with brief elaboration.
2. List of course materials prepared for students.
3. Information on professor's availability to students.
4. Report on identification of student difficulties and encouragement of student participation in courses or programs.
5. Description of how films, computers or other non-print materials were used in teaching.
6. Steps taken to emphasize the interrelatedness and relevance of different kinds of learning.

DESCRIPTION OF STEPS TAKEN TO EVALUATE AND IMPROVE ONE'S TEACHING.

1. Maintaining a record of the changes resulting from self-evaluation.
2. Reading journals on improving teaching and attempting to implement acquired ideas.
3. Reviewing new teaching materials for possible application.
4. Exchanging course materials with a colleague from another institution.
5. Conducting research on one's own teaching or course.
6. Becoming involved in an association or society concerned with the improvement of teaching and learning.
7. Attempting instructional innovations and evaluating their effectiveness.
8. Using general support services such as the Education Resources Information Centre (ERIC) in improving one's teaching.
9. Participating in seminars, workshops and professional meetings intended to improve teaching.
10. Participating in course or curriculum development.
11. Pursuing a line of research that contributes directly to teaching.
12. Preparing a textbook or other instructional materials.
13. Editing or contributing to a professional journal on teaching one's subject.

INFORMATION FROM OTHERS

Students:

1. Student course and teaching evaluation data, which suggest improvements or produce an overall rating of effectiveness or satisfaction.
2. Written comments from a student committee to evaluate courses and provide feedback.
3. Unstructured (and possibly unsolicited) written evaluations by students, including written comments on exams and letters received after a course has been completed.
4. Documented reports of satisfaction with out-of-class contacts.
5. Interview data collected from students after completion of a course.
6. Honors received from students, such as being elected "teacher of the year".

Colleagues:

1. Statements from colleagues who have observed teaching either as members of a teaching team or as independent observers of a particular course, or who teach other sections of the same course.
2. Written comments from those who teach courses for which a particular course is a prerequisite.
3. Evaluation of contributions to course development and improvement.
4. Statements from colleagues from other institutions on such matters as how well students have been prepared for graduate studies.
5. Honors or recognition such as a distinguished teacher award or election to a committee on teaching.
6. Requests for advice or acknowledgement of advice received by a committee on teaching or similar body.

Other sources:

1. Statements about teaching achievements from administrators at one's own institution or from other institutions.
2. Alumni ratings or other graduate feedback.
3. Comments from parents of students.
4. Reports from employers of students (e.g., in a work-study or "cooperative" program).
5. Invitations to teach for outside agencies.
6. Invitations to contribute to the teaching literature.
7. Other kinds of invitations based on one's reputation as a teacher (for example, a media interview on a successful teaching innovation).

CRLT, 3300 School of Education Bldg. Ann Arbor, MI 48109-1259

10.

LEAVES OF ABSENCE

<https://hr.umich.edu/sites/default/files/faculty-loa-request.pdf>

All faculty leaves of absence require that (1) the faculty member will notify his/her department chair of the intent; (2) the faculty member will complete and sign a “Faculty Request for Leave of Absence Form” and obtain the signature of their chair/director; (3) the faculty member will submit the form to the Dean’s Office, together with any backup documentation; (4) the request will be placed before the Executive Committee for action; and (5) the faculty member will be notified of the Executive Committee’s decision in writing. The chair/director will inform the office of the dean as to who will assume the faculty member’s duties during his/her absence. The Faculty Leave of Absence Form may be obtained in the dean’s office.

I. DUTY-OFF-CAMPUS (SPG 201.90).

When a University Instructional or Primary staff member’s duties require activities at a site away from one of the three campus locations (for a period of one month or more), this shall be noted by placing the individual in a Duty-Off-Campus (DOC) status for the appropriate period. The granting of Duty-Off-Campus status for instructional staff shall be reported to the Regents. Since University assignments and salary are continued during the DOC period, there is no effect on any of the individual’s staff benefits. A DOC DOES count toward sabbatical equity.

II. SCHOLARLY ACTIVITY LEAVE (SPG 201.30-4).

Scholarly Activity Leaves not in excess of one year may be granted to members of the regular instructional staff or the regular primary staff by the President or his designated representative on recommendation of the chancellor, dean, or directors. Such leaves may be granted to (1) permit acceptance of “prestigious fellowships” (SPG 201.30-4, page 4), or (2) permit acceptance of a temporary appointment at another institution when such appointment would, in the interest of the University, permit engagement in scholarly activities that are not otherwise practicably available, and that will significantly enhance the professional effectiveness of the individuals. Scholarly Activity Leaves do NOT count toward sabbatical equity.

A. Salary.

Leaves will normally be without salary, but if the award or available salary is less than the instructional staff member’s regular salary, at the dean’s request, a supplement may be provided to maintain the staff member’s regular salary, or a portion thereof. Such supplements may be provided only if permitted by the rules of the fellowship or the other institution involved.

B. Benefits.

The individual staff benefits (health, life, dental, periodic physical, long-term disability, retirement, and travel accident) will be maintained with benefits based on the pre-leave salary. However, participation in and contributions for health, life, long-term disability, and retirement will be continued during the leave only if the required staff member contributions are continued. If the staff member is ineligible for University contributions for long-term disability prior to the leave, but accrues the required years of service during the leave, the staff member will become eligible for University contributions once the years of service are met. The staff member may also begin contributions if applicable. If the staff member is eligible to participate in a disability plan through another employer, University of Michigan plan protection is discontinued. If the staff member was not covered by the Dental Assistance Plan prior to the leave, but accrues the one year

of service required during the leave, the staff member will not be eligible for dental coverage until he or she returns from the leave.

C. Vacation.

No vacation allowance will be accumulated by the staff member or paid while on SAL. Vacation allowances accumulated prior to the leave will be available upon return to active service at the University.

D. Sick Leave.

No sick leave allowance will be paid during the period of SAL. Sick leave allowances available prior to the leave will be available upon return to active service at the University.

E. Length of Service.

University service will continue to be accumulated during the leave.

F. Sabbatical Equity.

Sabbatical equity will NOT be earned during a SAL.

G. Retirement Furlough Equity.

Retirement furlough equity will continue to accrue during a Scholarly Activity Leave.

H. Return Prior to Expiration.

Return to active service prior to the expiration of the SAL will be at the option of the chair and dean. Individuals who become incapacitated during a leave, resulting in cessation of external funding, will be returned to their former University status and provided any benefits which were available prior to the beginning of the SAL.

III. LEAVES OF ABSENCE WITHOUT SALARY (SPG 201.30-1). Note: Sabbatical equity will NOT be earned during a SAL. Leaves of absence without salary may be granted by the President or his designated representative on recommendation by the dean to members of the instructional staff for periods of up to ONE YEAR. Leaves exceeding one year in duration and extension of leaves beyond one year for instructional staff may be granted only by the Board of Regents when an appropriate request is made on recommendation by the dean and the President. Leaves of absence for instructional staff will be granted for these reasons: child care (SPG 201.11-1), disability (SPG 203.1 and 203.1-1), educational (granted at the University's discretion), government, medical, military service, personal, outside teaching, research, and scholarly activity service (see Regulations and Definitions of SPG 201.30-1).

IV. SHORT-TERM TRAVEL LEAVE OF ABSENCE

A. Forms are provided by the office of the dean, and staff should use a new form for each request for absence approval. If several requests are submitted at once, fill out and sign the top portion of the first form and staple the rest of the forms thereto.

B. Normally, the maximum number of days of absence permitted during one term will be 15 weekdays during the entire term (i.e., from the first day of registration to the last day of the exam period). Permission must be sought in advance before making commitments that will require absence of more than a total of 15 days in a term.

C. If the total days of absence exceed 15 for the term, a statement must be attached justifying all of the activities on the grounds of:

(1) their distinctive contributions to the faculty member's record of creative and professional activities and/or (2) their anticipated contributions to the recruitment of highly talented students to the School. Faculty should also indicate what provisions are being made to cover the classes or lessons that will be missed. In studio instruction, it is expected that each student will receive at least 12 lessons during the term.

D. Faculty are to submit this form FIRST to the appropriate Division Head (or, if none, department chair), who will forward it to the dean. If the form is not submitted and approved BEFORE the faculty member leaves campus, it will be considered null and void.

FACULTY LEAVE OF
ABSENCE REQUEST

PART 1: PERSONAL INFORMATION (LOA) Faculty Member to return completed form to department chair.					
Last Name:		First Name:		Middle Name:	UMID:
Department:		Department ID:	Title of Position:		Date of Request:
PART 2: FACULTY MEMBER Check the type of leave, supply the required information in writing, and provide attachments as indicated. Reference Standard Practice Guide 201.30-1, Leaves of Absence. NOTE: Faculty represented by a Union should refer to the collective bargaining agreement that governs the terms and conditions of their employment for information regarding leaves of absence.					
PART 2a: LEAVES APPLICABLE TO FACULTY (Page 2 must be completed and attached.)					For SSC Use Only
LEAVE TYPE	DESCRIPTION				PMOD
<input type="checkbox"/> Duty Off-Campus	Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.90 and Faculty Handbook 16.B.4)				CA (Full) CB (Partial)
<input type="checkbox"/> Intergovernment Personnel Assignment	Attach OF69 Assignment Agreement. Such assignments will be for a specified, limited duration. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.30-5 and Faculty Handbook 16.B.3)				DJ
<input type="checkbox"/> LEO Scholarly Leave (unpaid)	Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to LEO Contract Article XXXI, Section C, #2)				DZ
<input type="checkbox"/> Outside US Assignment	Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.30-1 and Regents Bylaws, Section 5.13)				IZ
<input type="checkbox"/> Phased Furlough Agreement	Indicate specific plans and effective date of combined retirement furlough and phased retirement plans, only if hired prior to 01/01/1984. Retirement Agreement required, but no PAR transaction. (Refer to SPG 201.81 and SPG 201.83.)				BD
<input type="checkbox"/> Research Leave (unpaid)	Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.30-1)				AK
<input type="checkbox"/> Retirement Furlough	Indicate specific plans and effective date of complete retirement, only if hired prior to 01/01/1984. Retirement Agreement required, but no PAR transaction. (Refer to SPG 201.81 and SPG 201.83)				BB
<input type="checkbox"/> Scholarly Activity Leave	Indicate the location and duties to be performed in Section 4b and 4c. (Refer to SPG 201.30-4 and Faculty Handbook 16.B.2)				DI
<input type="checkbox"/> Teaching Leave (unpaid)	Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.30-1)				AJ
PART 3: LEAVE ACKNOWLEDGEMENT AND APPROVAL					
Returning to work before the leave expiration date is at the discretion of the University. Benefit plans not continued during the leave (self and dependents, if applicable) will be reinstated upon return from leave into a benefit eligible appointment. Deductions for reinstated benefits will resume.					
Faculty Signature:			Faculty Name Printed:		
Approved by Department Head:			Dean/Director or Representative:		
Telephone:	Date:	Uniquename:	Telephone:	Date:	Uniquename:

Form HR36609 – Faculty Leave of Absence Request (Reader Accessible)

University of Michigan

Part 1: Personal Information (LOA)

Faculty member to return completed form to department chair.

Last Name:

First Name:

Middle Name:

UMID:

Department:

Department ID:

Title of Position:

Date of Request:

Part 2: Leave Information

Faculty member: Indicate the type of leave, supply the required information in writing, and provide attachments as indicated. Reference [Standard Practice Guide 201.30-1, Leaves of Absence](#).

Note: Faculty represented by a Union should refer to the collective bargaining agreement that governs the terms and conditions of their employment for information regarding leaves of absence.

Part 2a: Leaves Applicable to Faculty

Part 4 must be completed and attached.

[] Leave Type: Duty Off-Campus. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to [SPG 201.90](#) and Faculty Handbook 16.B.4.)

For SSC use only: PMOD CA (Full), CB (Partial)

[] Leave Type: Intergovernment Personnel Assignment. Attach OF69 Assignment Agreement. Such assignments will be for a specified, limited duration. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to [SPG 201.30-5](#) and Faculty Handbook 16.B.3)

For SSC use only: PMOD DJ

[] Leave Type: LEO Scholarly Leave (unpaid). Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to [LEO Contract](#) Article XXXI, Section C, #2)

For SSC use only: PMOD DZ

[] Leave Type: Outside US Assignment. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to [SPG 201.30-1](#) and [Regents Bylaws, Section 5.13](#))

For SSC use only: PMOD IZ

[] Leave Type: Phased Furlough Agreement. Indicate specific plans and effective date of combined retirement furlough and phased retirement plans, only if hired prior to 01/01/1984.

Retirement Agreement required, but no PAR transaction. (Refer to [SPG 201.81](#) and [SPG 201.83](#))

For SSC use only: PMOD BD

[] Leave Type: Research Leave (unpaid). Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to [SPG 201.30-1](#))

For SSC use only: PMOD AK

[] Leave Type: Retirement Furlough. Indicate specific plans and effective date of complete retirement, only if hired prior to 01/01/1984, **Retirement Agreement required, but no PAR transaction.** (Refer to [SPG 201.81](#) and [SPG 201.83](#))

For SSC use only: PMOD BB

[] Leave Type: Scholarly Activity Leave. Indicate the location and duties to be performed in Section 4b and 4c. (Refer to [SPG 201.30-4](#) and Faculty Handbook 16.B.2)

For SSC use only: PMOD DI

[] Leave Type: Teaching Leave (unpaid). Indicate the location and duties to be performed in sections 4b and 4c. (Refer to [SPG 201.30-1](#))

For SSC use only: PMOD AJ

Part 3: Leave Acknowledgement and Approval

Returning to work before the leave expiration date is at the discretion of the University. Benefit plans not continued during the leave (self and dependents, if applicable) will be reinstated upon return from leave into a benefit eligible appointment. Deductions for reinstated benefits will resume.

Faculty Member

Faculty Member Signature:

Faculty Member Printed/Typed Name:

Faculty Member Date:

Department Head

Department Head Approved:

Department Head Telephone:

Department Head Date:

Department Head Uniqname:

Dean/Director or Representative

Dean/Director or Representative Approved:

Dean/Director or Representative Telephone:

Dean/Director or Representative Date:

Dean/Director or Representative Uniqname:

Part 4: Leave Information

To be completed by faculty member: Please submit this form to the chair(s)/director(s) of all the units in which you hold budgeted appointments for approval.

Note: For University Year appointments on a leave at any effort less than 100%, Fall Term Leaves will run from the beginning of the Academic Year (8/31 to 12/31 for Ann Arbor and Dearborn; 9/1 to 12/31 for Flint). Winter Term Leaves will run until the end of the Academic Year (1/1 to 5/31). Salary and Benefits will also be altered beginning in July for Fall and ending in June for Winter.

Leave Begin Date:

Leave End Date:

Part 4a: Select one of the following leaves and check relevant boxes

Information required in Part 4b, 4c, and/or 4d

☐ Duty Off-Campus Leave (DOC) for One Term (100% Salary Support)

☐ Duty Off-Campus Leave (DOC) for Two Terms (50% Salary Support)

☐ Duty Off-Campus Leave (DOC) for Other

☐ Leave Without Salary (LWOS). Please explain reason for LWOS in Part 4d below.

Part 4b: Location during leave

Information required for Regents' reporting purposes

Organization:

City:

State/Country:

Part 4c: Briefly describe research plans while on leave

Information required for Regents' reporting purposes

Plan description:

Part 4d: Briefly explain reason for Leave Without Salary

Information required for Regents' reporting purposes

Reason description:

Form HR36609 Revised 05/2020

Available at: hr.umich.edu/human-resources-administrative-forms

Descriptions for Faculty Leave of Absence Request

Duty Off-Campus Full

Duties require activities at a site away from one of the three campus locations for a period of one month or more. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to [SPG 201.90](#) and Faculty Handbook 16.B.4)

Duty Off-Campus Partial

Duties require activities at a site away from one of the three campus locations for a period of one month or more. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to [SPG 201.90](#) and Faculty Handbook 16.B.4)

Intergovernmental Personnel Assignment

Attach OF69 Assignment Agreement. Enter into agreements with agencies of the Federal Government which allow for the temporary assignment of University faculty or staff members to roles in those agencies or for similar assignment of Federal employees to roles within the University. Intergovernmental Personnel Agreements are intended to enhance cooperation between the University and Federal agencies, to take advantage of unusual expertise, skills, or talents, and to provide valuable professional development opportunities for the staff members involved. Such assignments will be for a specified, limited duration. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to [SPG 201.30-5](#) and Faculty Handbook 16.B.3)

LEO Scholarly Leave (unpaid)

Refer to [LEO Contract](#) Article XXXI, Section C, #2.

Outside US Assignment

The person is elected to a full-time public political office (except that of Michigan state legislator), or appointed to an office of significant responsibility such as head of or assistant to the head of an office, department, or branch of the federal, state, or local government, or to a position of significant responsibility in a non-profit organization dedicated to public service. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to [SPG 201.30-1](#) and [Regents Bylaws, Section 5.13](#))

Phased Furlough Agreement

Indicate specific plans and effective date of combined retirement furlough and phased retirement plans, only if hired prior to 01/01/1984. Retirement Agreement required, but no PAR transaction. (Refer to Refer to [SPG 201.81](#), [SPG 201.83](#))

Research Leave (unpaid)

The person is invited to participate in a unique research project. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to [SPG 201.30-1](#))

Retirement Furlough

Indicate specific plans and effective date of complete retirement, only if hired prior to 01/01/1984. Retirement Agreement required, but no PAR transaction. (Refer to [SPG 201.81](#) and [SPG 201.83](#))

Scholarly Activity Leave

Accept a temporary appointment at another institution when the appointment would, in the interest of the University, permit the faculty member to engage in scholarly activities that would not be otherwise practicably available, and that would significantly enhance the professional effectiveness of the faculty member. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to [SPG 201.30-4](#) and Faculty Handbook 16.B.2)

Teaching Leave (unpaid)

The person is invited to teach as a visiting faculty member in another teaching institution. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to [SPG 201.30-1](#))

Instructions for Faculty Leave of Absence Request

This form is used for: Faculty leave of absence (Part 2a).

This form needs to be prepared when: Faculty member requests a leave of absence.

Please include the following information:

Part 1: Personal Information (Leave of Absence)

- Employee name.
- UMID.
- Department information.
- Title.
- Date of request.

Part 2: Faculty Member (Reference Standard Practice Guide 201.30-1, Leaves of Absence)

- Completed by faculty member.
- Complete Part 2a.

Part 2a: Leaves Applicable To Faculty

Provide required attachments (if any) for the type of leave you have chosen.

Part 3: Leave Acknowledgement And Approval

- Approved Faculty Signature and Name Printed.
- Approved faculty member's department administrator and Dean/Director or Representative.

Part 4: Leave Information

Provide Leave Begin Date and Leave End Date for leave(s) in Section 2a.

Part 4a:

Select DOC or LWOS.

Part 4b:

Provide location during Leave.

Part 4c:

Describe Research Leave plans.

Part 4d:

•Describe Reason for LWOS plans.

11.

OUTSIDE EMPLOYMENT AND ABSENCE POLICIES

This document presents the regulations and policies on outside employment as specified by the State of Michigan, the Regents of the University, and the School.

- A. Section 21 of the 1980 Appropriations Bill "An institution of higher education may not use state funds appropriated herein to pay any of its employees, faculty members or administrators for time spent working for any other university, college, community college, nonprofit organization, foundation, private firm or corporation without the specific written permission of the board of control of such institution of higher education. Summary reports of such authorizations for the previous academic year shall be available every September 15 for inclusion in budget requests and transmittal to the Legislature."

- B. Regents Bylaw 5.12: Outside Employment "A full-time member of the faculty shall not during the academic year be employed for remuneration by other agencies than the University except with the approval of the proper University authorities. Such approval may be granted in the case of professional employment only when either or both of the following conditions exist:
 - 1. When the work in question gives promise of enhancing the individual's usefulness as a teacher and scholar in his field to a greater degree than a corresponding amount of work within the walls of the University.

 - 2. When the work is of a distinctly public nature or when for any other reason the University wishes to be actively engaged in its furtherance. In the case of nonprofessional employment, such approval may be granted only when it appears that such activity will not interfere with the performance of University duties or impair the usefulness of the individual as a teacher and a scholar. Each of the governing faculties of the University shall formulate for the guidance of its administrative officers such regulations, appropriate to the field represented by it, as it may consider necessary to give effect to the general policy defined herein. When outside employment is permitted in connection with a 'part-time' appointment, the portion of time which is engaged by the University shall be stated in the appointment notice and in the budget."

- C. School's Policy on Absences
 - 1. Members of the faculty have always been encouraged to accept occasional professional engagements, including engagements outside Ann Arbor (performing, speaking, adjudicating, etc.), with or without compensation, provided that assigned duties can be carried on satisfactorily and, if outside Ann Arbor, that permission has been obtained from the dean on the form entitled Request for Approval of a Short-Term Travel Leave of Absence. A reasonable amount of such activity is expected in accordance with the Criteria and Procedures for Promotion and Tenure.

 - 2. Permission is required if a full-time member of the faculty is to be absent from Ann Arbor at any time while the University is in session and he or she is employed by the School. The form entitled Request for Approval of a Short-Term Travel Leave of Absence must be submitted to the dean for this purpose. This requirement is not intended to limit the freedom

of the faculty member to engage in professional activities or to impinge upon his or her personal responsibilities, and permission will normally be granted automatically. Official notification of absence is necessary to respond to inquiries that often arise while faculty members are gone, and it is important in the orderly administration of the School.

3. Professional activities of the types expected of the faculty member in accordance with the Criteria and Procedures for Promotion and Tenure may be approved as University business. A faculty member may request such approval on the form entitled Request for Approval of a Short-Term Travel Leave of Absence if performing an activity or service he or she considers to be expected of him or her regardless of whether or not a stipend or expenses are received. In the event of death or injury while traveling, prior confirmation by the dean that the travel is for the purpose of conducting University business will have an important bearing on any insurance claim or on any claim under the worker's compensation laws.

4. Approval of travel on the form entitled Request for Approval of a Short-Term Travel Leave of Absence does not represent authorization for reimbursement of expenses. Reimbursement, if sought, must be requested separately, in writing on the approved form.

D. School Policy on Outside Employment

1. The total amount of time devoted by a full-time faculty member to outside employment, including teaching, concertizing, consulting, and other professional activities, may not exceed one day per week or equivalent. Approval must be sought from the dean for a larger amount of outside employment.

2. Members of the faculty may accept private students provided that (1) assigned duties can be carried on satisfactorily and (2) no private instruction is given to any student enrolled in the School or in a Rackham program in music without the specific written permission of the dean.

3. Permission must be obtained in writing from the dean for the use of University facilities for instruction, which is not officially assigned.

4. In a few instances, permission may be given to members of the faculty to accept regular, part-time employment with an outside institution provided that all assigned duties can be carried on satisfactorily, that the employment is beneficial to the individual and to the University in a professional sense and that specific written permission has been obtained from the dean.

12.

GUIDELINES FOR REQUESTING POSITIONS

I. Objectives

The continued success of departments, programs, and the School as a whole depend heavily on the faculty. Thus it is important that the School maintain clear and consistent practices regarding position requests and approvals. The following document is intended to outline those practices and focus the efforts of departments to meet anticipated needs and goals and, in part, to provide for an orderly transition from current to future curricular needs. Although the Dean and the Executive Committee recognize that there is sometimes an assumption that open lines will return to departments when vacated, it is School policy that all open positions revert to the School. Thus departments must submit requests for open positions and new faculty lines. It is understood that all such requests will reach the Dean and Executive Committee after thorough departmental deliberation and under the chairperson's signature.

II. Writing a Position Request In General

A position request must make clear how a position fits into the long-range plans of the department making the request. In particular, a request should address the following four broad areas.

- A. Enrollment needs. The request should describe, as clearly and specifically as possible, how the position would enhance the delivery of curriculum to students from a disciplinary and interdisciplinary standpoint, and estimate the numbers of students who would benefit.
- B. Artistic or scholarly potential. The School will not necessarily seek to duplicate the expertise of retiring or resigning faculty. Position requests should thus be consistent with current and perceived future needs of the department and School.
- C. Demographic configuration. Diversity and balance in racial, ethnic, and gender composition of our faculty are abiding concerns. It is thus important that a proposed position be defined broadly enough to ensure the presence of a broad and diverse pool of potential candidates. It would not generally be appropriate to request a position that could be filled by one of only two or three individuals.
- D. Resources. Requests should address the anticipated costs of positions with respect to projected salary rates, and any continuing research support needs. They must identify the *specific* space (office, studio, etc.) that a new faculty member will occupy. Approval of position requests does entail an automatic commitment to additional space.

III. Details of Position Requests

A suggested format for a position request is provided in the Appendix to this document. The following explanatory and background material follows the order of items in that Appendix.

A. Planning Information

1. Long-range plan. It is important that the Dean and the Executive Committee understand how a position request fits into a department's long-range plan. This section should outline future goals and objectives with respect to emerging trends in the discipline or area, anticipated changes in faculty strength, and the mission of the School.

2. Student needs. The School can provide broad statistical indicators of student enrollments across the School, together with trends over the last several years. These are available to departments for their use in support of arguments that there are significant needs for instructional resources in the areas covered by the request. It is important to include descriptions of teaching that will benefit students in other departments or programs, and in interdisciplinary settings. It would also be useful to list and/or describe the specific courses and course enrollments that the proposed faculty position would serve.

3. Artistic and scholarly directions. A position request should include statements describing the significance of the area in which the appointment is being requested; how the position fits into the School and department's long-range plans; the relationship of the area of the contemplated position to other programs in the School and in the University; and the level of interest from any other units, programs, or centers that would benefit from the appointment.

B. Resources

1. Open lines. Traditionally, most faculty are hired into existing lines that become open through retirement, resignation, or termination. When a faculty line becomes open in a department, there is a strong assumption that it will be returned. That assumption notwithstanding, the needs of the School and the department's strategic plan will be key to the Executive Committee's deliberations concerning the position request.

2. Available funding. In some cases, endowment funds (such as a chaired professorship) or other University resources may be available to support the requested position. If such a source has been identified, it should be indicated in this section.

3. Conversion of internal funding. In some cases, it may be possible to convert "supplemental instruction" or other School funds to regular faculty hires. If this option is contemplated and has been discussed in department, it should be indicated in this section. A statement of the anticipated impact of the conversion on the overall teaching capacity and quality within the department making the proposal should be detailed in the request, most appropriately in the cover letter (see below, item D.2).

4. Funding Opportunities. The Provost's Office may be able to assist schools/colleges and other academic units with supplemental resources to help promote diversity in many forms (including interdisciplinary and intellectual), responding to unique opportunities, or

assisting with dual career situations. Candidates should be identified through the natural outcome of an open search. To see an explanation of this program, visit the Provost's website at <http://www.provost.umich.edu/programs/pfip.html>. ***All requests for access to this program must first be submitted to the School for approval.*** If your department is interested in accessing this program, please discuss your plans as early as possible with the Dean. The Dean will forward appropriate requests to the Office of the Provost upon the approval of the Executive Committee.

5. Facilities, research "start-up" costs, and unusual requests such as instruments and non-standard teaching space. This section must include an estimate of equipment or other start-up costs. These may include the acquisition of special research and teaching materials, provision of an office computer, or special research travel needs. It is important to recognize that the School uses this information to develop an overall budget. ***Approval of the position does not imply approval or commitment of the estimated equipment costs.***

6. Space and/or Renovation Costs. This section should specifically identify which existing space will be used for the new faculty member and make it clear if there are any construction or renovation needs that would be created. It is important to recognize that the School uses this information in developing an overall budget, but also that approval ***of the position does not imply approval or commitment of the estimated renovation costs or additions to departmental/program space.*** It is assumed that new faculty will be housed in existing office or studio space.

C. Recruitment

1. Candidate pool. A position request should include evidence that there is a sufficiently large pool of potential applicants to provide the unit with the opportunity to select among several promising alternatives. The School expects positions to be defined with sufficient breadth to ensure the availability of a substantial number of candidates. Targeted, one-person searches are inconsistent with this expectation.

2. Candidates already identified. If potential candidates have already been identified, indicate their names, present situations, and status of any contacts with them.

3. Diversity. A position request should include a discussion of the availability of minority and female candidates for that position. The University and the School are committed to an aggressive program of recruitment of minority faculty and women, and it is important that they receive evidence that the availability of minority and female candidates for the proposed position has been (and will be) thoroughly investigated. It would be especially useful to include numbers of recent women and minority Ph.D.s, D.M.A.s, or professionals in the field; numbers recruited by the unit in the past; and estimates of numbers of potential new candidates.

4. Existing authorized positions. The position request should include an account of the status of previously authorized positions that remain open in the department, if any. This would include a list of previously authorized positions that remain open, an account of attempts in the past year to fill them, and an explanation of how faculty members will be able to continue to search to fill those positions at the same time as they mount new searches.

5. **Advertisement.** The position request should include a copy of the proposed advertisement for the position, together with a list of websites and print publications in which it would be placed. All ads must include minimum requirements (not maximum expectations) for the position; state that the University of Michigan is an affirmative action, equal opportunity employer; request evidence of teaching excellence and a research/professional activity statement; specify women and minorities are encouraged to apply. (A sample advertisement is provided below.)

D. Submitting the Request

1. **Copies.** Please submit an electronic copy.

2. **Cover letter.** Cover letters from the departmental chair or designate are welcome, particularly if the department has considered supporting the position with endowment or conversion of internal funds, or is submitting more than one position request at a time. In the latter instance, common elements of requests (such as a general long-range plan or the status of carry-forward open positions) can be moved to the cover letter rather than being repeated in each request.

3. **Submission.** Please email the electronic copy of the position request to the Dean's Office, 2300 Moore Building, 1100 Baits Drive – 2085. The electronic version should be emailed to Lorie Bennett (lorieann@umich.edu).

IV. General Policy Issues

1. **Advertising.** All open positions must be advertised nationally. This applies both to new positions and open positions that are carried forward from earlier years. Approval for all public notices must be received in advance of publication.

2. **School response.** The Executive Committee attempts to apprise Chairs and Directors of its decisions as early as possible. Departments will be notified in writing as soon as the Executive Committee reaches a decision.

3. **Position availability.** Most position requests will be authorized for appointment terms beginning in the following academic year.

4. **Posting.** Under University regulations, open positions must be posted. Normally, the wording of the University posting is identical to that of the approved national advertisement.

Request to Conduct a Faculty Search

I. BASIC INFORMATION

Department		
Date of Submission		
Rank of position requested <i>(Assistant Professor, Associate Professor, Professor)</i>		
Track of position requested <i>(Tenure-Track or Clinical-Track)</i>		
Area to be covered by the new position:		
Signature of chairperson:		

II. PLANNING INFORMATION

Department/Unit long-range plans related to this position:	
Projected student enrollments:	
Projected artistic or scholarly potential of this position:	

III. RESOURCES

Open line(s):	New Position	
Available funding (endowment or other University resources), if applicable:		
Conversion of internal funds, if applicable:		

Funding Opportunities, if applicable (please explain):	
Anticipated facilities, research start-up costs, and unusual requests such as instruments and non-standard teaching space:	
Anticipated space and/or renovation costs:	

IV. RECRUITMENT

Candidate pool:
Candidates already identified:
Diversity of pool:

V. POSITION DESCRIPTION FOR ADVERTISEMENTS

Post: Faculty Position in
Duties: The appointee will be expected to: demonstrate a strong commitment to teaching excellence, create an innovative curriculum for a broad range of students of varied identities and backgrounds who seek to explore a range of educational opportunities and career pathways; recruit and retain students of exceptional promise, and develop and maintain a visible national and international profile as a performer and a pedagogue. The appointee will also be expected to: participate in faculty governance, attend faculty meetings, and serve on faculty and university committees as appropriate...
Qualifications: ...demonstrated ability to empower, advocate for, and value a broad range of students of diverse identities and experiences, as shown through pedagogy, mentoring, and related activities.....
Rank:
To Apply: Materials are only being accepted via Interfolio. Required documents to be uploaded are: a letter of interest, curriculum vitae, evidence of professional and teaching activity, and a list of at least five current references with contact information. The School of Music, Theatre & Dance situates diversity as a core value and is dedicated to promoting access, equity, and inclusion for all individuals. In your application, please include a statement that describes how your research, creative activities, teaching, and/or service in the past, present, and/or future will advance the School's commitments. To apply, please visit Interfolio at (link to be provided). Please ensure you upload documents to the position for which you are applying and not to your personal Interfolio account. Please add the Department you are applying to in the subject line of the email.
Deadline: Review of materials will begin X. Materials will be accepted until (60 days from posting date).

Please email the electronic copy of the position request to the Dean's Office.

(SAMPLE)

University of Michigan
School of Music, Theatre & Dance
Faculty Post Available
September 2022

Post: Artist/Teacher of Percussion, Tenure-Track Faculty Position, Department of Winds & Percussion

ABOUT THE SCHOOL OF MUSIC, THEATRE & DANCE. As a comprehensive performing arts school set in one of the world's finest public institutions of higher education, the School of Music, Theatre & Dance (SMTD) is deeply engaged in the creation, practice, scholarship, and pedagogy of music, theatre, and dance. We aim to provide leadership, nationally and internationally, in all three fields. We assert and celebrate the value of the arts to the mission of the University of Michigan. SMTD is strongly committed to access, diversity, equity, inclusion, and anti-oppression as a means of enacting justice and achieving and sustaining excellence.

Duties: Teach applied private instruction at the undergraduate, masters, and doctoral levels in trumpet, hold weekly studio classes; coach chamber music, and other departmental needs as required. The appointee will be expected to: demonstrate a strong commitment to teaching excellence, create an innovative curriculum for a broad range of students of varied identities and backgrounds who seek to explore a range of educational opportunities and career pathways; recruit and retain students of exceptional promise, and develop and maintain a visible national and international profile as a performer and a pedagogue. The appointee will also be expected to: participate in faculty governance, attend faculty meetings, and serve on faculty and university committees as appropriate. It is expected that the appointee will participate in solo and chamber music performances and engage in innovative artistic collaborations on campus.

Qualifications:

Required: Graduate degree in trumpet performance, or equivalent professional experience, demonstrated ability to empower, advocate for, and value a broad range of students of diverse identities and experiences, as shown through pedagogy, mentoring, and related activities, demonstrated expertise and experience in teaching by having presented master classes, maintained private studios, and/or served as a faculty member at institution(s) of higher learning, evidence of a commitment to recruiting and maintaining a successful trumpet studio, evidence of potential for a national and international profile as a performer and pedagogue.

Preferred: A sustained and distinguished professional record as a performer DMA degree or equivalent professional experience.

Rank: Open; tenure or tenure-track

To Apply: Materials are only being accepted via Interfolio. Required documents to be uploaded are: a letter of interest, curriculum vitae, evidence of professional and teaching activity, and a list of at least five current references with contact information. The School of Music, Theatre & Dance situates diversity as a core value and is dedicated to promoting access, equity, and inclusion for all

individuals. In your application, please include a statement that describes how your research, creative activities, teaching, and/or service in the past, present, and/or future will advance the School's commitments. To apply, please visit Interfolio at (link to be provided). Please ensure you upload documents to the position for which you are applying and not to your personal Interfolio account.

Recordings may be requested following receipt of materials.

Deadline: Review of materials will begin X. Materials will be accepted until 60 days from posting date.

13.

GUIDELINES AND PROCEDURES FOR SEARCH COMMITTEES FOR FACULTY APPOINTMENTS

I. JOINT FACULTY APPOINTMENTS

A faculty member may hold concurrent appointments in more than one academic unit, in both an academic unit and a research unit, or in an academic unit and an administrative unit; this is known as a joint appointment. Candidates must meet each unit's requirements for appointment. The distribution of responsibility and the tenure and part-time status in each unit must be specified and approved by the chairs/directors, deans, and Executive Committees of the units involved. (http://www.provost.umich.edu/faculty/appointment_guidelines/)

II. REGULAR INSTRUCTIONAL FACULTY APPOINTMENTS

A. Senior Positions - Associate Professor (with or without tenure), Professor (with or without tenure), Clinical Associate Professor and Clinical Professor

The Provost and Executive Vice President for Academic Affairs has established detailed and specific guidelines and procedures for obtaining [authorization to extend an offer](#) for appointment of Associate Professors, Professors, Clinical Associate Professors, and Clinical Professors. These guidelines should be followed to request approval for ALL appointments to the aforementioned positions, even if the candidate already has a University appointment. Requests to switch faculty from one track to another should be handled as outlined in these procedures.

1. Permission to search is sought by the chair/director through the dean and Executive Committee. S/he should be prepared with a *written draft* position request for review and approval as well as a list of individuals he/she recommends to serve on the Search Committee.
2. Once the position is approved by the Executive Committee, the Search Committee will be created. Search Committees will be provided with secretarial support for posting the position, arranging for advertisements in the national journal(s) of the discipline, obtaining an Appointment Activity Record, arranging travel and housing, and other duties as deemed necessary for a successful search.
3. The chair of the search committee will confer with the search committee and prepare a short list of candidates for review by the *governing faculty of a department* in which a vacancy occurs. The entire department will also participate in the interviews of those candidates invited to the campus. Interviewing procedures will include opportunities for candidates to demonstrate teaching effectiveness. Written evaluations of these final candidates by departmental faculty who are not members of the search committee should be directed to the chair of the search Committee—who must provide copies to the dean for inclusion in the final report to the Executive Committee. The chair will then meet with and report to the dean regarding the short list of candidates, in order to determine the number of candidates that will be invited to campus for interviews.
4. At a date and time designated by the dean, the chair of the search committee (or his/her designate) may appear before the Executive Committee with an unranked list of no fewer than

three final candidates and, for each candidate, the following information:

- (a) curriculum vitae;
- (b) a list of strengths and weaknesses; and
- (c) any other pertinent information deemed valuable by the search committee and/or dean.

5. After the Executive Committee has approved the selected candidates and after completion of the interviews, the search committee chair notifies the dean that a preferred candidate has been selected and requests to meet with the Executive Committee.

6. The chair of the search committee prepares an appointment packet (final report of the search committee) for presentation to the School's Executive Committee. This appointment packet must contain all of the following:

- (a) a substantive description of the candidate's work;
- (b) how this expertise will benefit and be of value to the appointment;
- (c) evidence of teaching experience and performance;
- (d) at least five (5) letters of recommendation;
- (e) the names of the external reviewers and their credentials as well as their relationship to the candidate. A short paragraph for each reviewer should indicate the reviewer's position, fields of expertise, important contributions and standing in the discipline, appropriateness of the reviewer to provide input, as well as any close professional associations with the candidate – dissertation committee, post-doc supervisor, co-author, etc.
- (f) Written evaluations by members of the department

B. Junior Positions - Assistant Professor (Tenure-Track and Clinical Track)

1. Permission to search is sought by the chair/director through the dean and Executive Committee. S/he should be prepared with a written draft position request for review and approval as well as a list of individuals he/she recommends to serve on the Search Committee.

2. Once the position is approved by the Executive Committee, the Search Committee will be created. Search Committees will be provided with secretarial support for posting the position, arranging for advertisements in the national journal(s) of the discipline, obtaining an Appointment Activity Record, arranging travel and housing, and other duties as deemed necessary for a successful search.

3. The chair of the search committee will confer with the search committee and prepare a short list of candidates for review by the *governing faculty of a department* in which a vacancy occurs. The entire department will also participate in the interviews of those candidates invited to the campus. Interviewing procedures will include opportunities for candidates to demonstrate teaching effectiveness. Written evaluations of these final candidates by departmental faculty who are not members of the search committee should be directed to the chair of the search committee—who must provide copies to the dean—for inclusion in the final report to the Executive Committee. The chair will then meet with and report to the dean regarding the short list of candidates, in order to determine the number of candidates that will be invited to campus for interviews.

4. At a date and time designated by the dean, the chair of the search committee (or his/her designate) will appear before the Executive Committee with an unranked list of no fewer than

three final candidates and, for each candidate, the following information:

- (a) curriculum vitae;
- (b) a list of strengths and weaknesses;
- (c) Teaching experience; and
- (d) any other pertinent information deemed valuable by the search committee and/or dean.

5. After approval by the Executive Committee and all the candidates have been interviewed, the search committee chair notifies the dean that a selection has been made and requests to meet with the Executive Committee.

6. The chair of the search committee prepares its written recommendation (final report of the search committee) for presentation to the School's Executive Committee:

- (a) An unranked list of the candidates including an evaluation of each candidate's work, including positive and negative points.
- (b) Letters of recommendation (three for the rank of assistant professor).
- (c) Evidence of teaching experience and professional activity; this will vary by department.
- (d) The committee's view as to appropriate rank of appointment for recommended candidates
- (e) Written evaluations by members of the department

14. ELECTIONS

I. Nominating Committee

A committee consisting of the two members of the Executive Committee whose terms are expiring and one member of the faculty-at-large, named by the Executive Committee, shall prepare initial panels of nominees in accordance with the procedures set forth below.

II. Teller

The secretary to the faculty shall serve as Teller in tallying the votes in faculty elections, with the assistance of the chair of the Council of Departmental Representatives, who shall serve as Second. Nominees, members of the Nominating Committee(s), deans (including associate and assistant deans), and members of any committees with vacancies for which votes are being counted are NOT eligible to serve as either Teller or Second. In the event that either the faculty secretary or CDR chair is ineligible to serve in such capacity, the vice-chair of FCGS shall be appointed as first alternate. Teller and Second shall tally the votes utilizing numerical weighting appropriate to the preferential nature of the ballot and report to the dean, in writing, the results of such balloting. The Teller will inform the faculty of the School of the results of the election by listing in preferential order the two (2) leading nominees from each slate where there is one nominee to be selected and the three leading nominees from each slate where there are two nominees to be selected. Names of the other nominees will be listed alphabetically.

III. Executive Committee

A. Resolution on Executive Committee Elections (Adopted February 4, 1974) RESOLVED THAT effective upon the adoption of this resolution by a majority of the governing faculty of the School in a regular meeting, a quorum being present, and continuing so long as there shall be fewer seats on the Executive Committee than there are departments within the School or until amended or revoked by a majority of those voting at a regular meeting of the governing faculty of the School, a quorum being present, the following policies and procedures shall govern nominations for the members of the faculty to seats on the Executive Committee of the School of Music, Theatre & Dance:

1. The Executive Committee shall consist of the dean and six members of the faculty appointed by the Regents of the University from panels of nominees determined as provided below. Two members shall be selected from each of the three groups of faculty.

- Group 1 shall consist of the members of the departments of *Composition, Conducting, Music Education, Music Theory, and Musicology.*
- Group 2 shall consist of the members of the departments of *Chamber Music, Organ, Piano, Strings, Voice, and Winds and Percussion.*
- Group 3 shall consist of the members of the departments of *Dance, EXCEL, Jazz Studies, Musical Theatre, Performing Arts Technology, and Theatre and Drama.*

2. Appointments to the Executive Committee shall be for periods of three (3) consecutive years, each appointment to begin on July 1.
3. A committee consisting of the two members of the Executive Committee whose terms are expiring and one member of the faculty-at-large, named by the Executive Committee, shall prepare initial panels of nominees in accordance with the procedures set forth below.
4. Additional nominations from the floor will be permitted in accordance with the rules that govern the actions of the nominating committee.
5. All full-time associate professors and professors shall be eligible for nomination. The following exceptions apply:
 - (a) those whose terms are expiring at the end of the academic year in which the voting is held;
 - (b) those who, if named by the Regents, would be unable to serve the first full year of a three-year term because of sabbatical leave or leave of absence;
 - (c) assistant deans, associate deans, assistants to the dean, faculty not returning at the end of the current year or questionable; committee members whose terms are expiring; and members of the same department as any of the continuing members.
 - (d) The following shall not be eligible to serve: assistant professors, clinical faculty, instructors, lectures, adjunct and visiting faculty.
6. The Nominating Committee shall prepare a separate slate of candidates for each group of faculty members as defined in Section 1, above. When there is one nominee to be selected from a group, the Nominating Committee shall prepare a slate of six (6) nominees. When there are two (2) nominees to be selected, the committee shall prepare a slate of six to eight (6-8) nominees. Additional nominations to any slate may be made from the floor. Robert's *Rules of Order* shall govern the nominating procedures except where they are in conflict with sections 1 and 5 of this resolution.
7. Voting shall be by secret ballot. Each ballot shall contain the names of all nominees, arranged in alphabetical order by slate. Each member of the faculty who chooses to vote shall do so by indicating by suitable marks on the ballot those persons for whom he or she wishes to vote. When there are two (2) nominees to be selected from a single group, each voter shall indicate a preferential ordering of three choices. When there is one (1) nominee to be selected from a group, each voter shall indicate a preferential ordering of two choices. Ballots will be placed in a sealed envelope, which in turn will be placed in a larger envelope on which the signature of the voter is to be written.
8. Any ballot containing fewer than or more than the prescribed number of votes shall be declared invalid. Any ballot presented in an unsigned cover envelope will not be counted.
9. The Secretary of the Faculty – shall be appointed by the dean to a four-year term. In addition to taking the minutes of full faculty meetings, the secretary shall serve as Teller in tallying the votes in faculty elections, with the assistance of the chair of the Council of Departmental Representatives, who shall serve as Second. In the event that either the faculty secretary or CDR chair is ineligible to serve in such capacity, the vice-chair of FCGS shall be appointed as first alternate. Teller and Second shall tally the votes utilizing numerical weighting appropriate to the preferential nature of the ballot and report to the dean, in writing, the results of such balloting.

10. The dean will report the results of the voting to the appropriate office of the University for consideration of the Regents or their designate(s) at their June meeting, whose prerogative it is to appoint the members of the School's Executive Committee. The dean's report will be in such form as is acceptable to that office. Announcement of the appointments will be made in such manner as is chosen by the Regents or their designate(s).

11. The Teller will inform the faculty of the School of the results of the election by listing in preferential order the two (2) leading nominees from each slate where there is one nominee to be selected and the three leading nominees from each slate where there are two nominees to be selected. Names of the other nominees will be listed alphabetically.

12. Vacancy on the Executive Committee at any time or for whatever reason shall be filled for the term of the vacancy as if the vacancy were caused by the expiration of a three-year term. When a special election to fill a temporary vacancy is not feasible as an extension of the regular, annual electoral process, nominations will be entirely by presentation from the floor at a meeting of the faculty.

13. See [Appendix N](#) for SMTD Executive Committee Definition and Responsibilities and Attendance and Voting Protocol.

IV. Ombuds

A. The governing faculty of the School will elect an Ombuds and Alternates. The Ombud's responsibilities are limited to the Informal Discussion portion of the grievance procedures which are spelled out in this document.

B. The Ombuds and the Alternates will be chosen from among the tenured members of the faculty of the School of Music. The dean of the School, associate deans, assistant deans, and assistants to the dean (Executive Committee members and chairs and directors) are *not* eligible to serve as an Ombuds.

C. The Ombuds and the Alternates will be elected to three-year terms, which will begin on September 1 of the first year. There is no limit to the number of times a person may be re-elected.

D. The governing faculty of the School will nominate the slate and elect the Ombuds and the Alternates according to the following procedures. (The election process will be implemented by the office of the dean.)

1. During the Winter Term of an election year (every third year), a ballot consisting of all eligible faculty members will be distributed to the governing faculty. Each faculty member will vote non-preferentially for six people. The six people receiving the most votes will constitute the slate of nominees. However, if more than two people are tied for fifth place, all will be included on the slate; if two or more people are tied for sixth place, both or all will be included on the slate.

Comment: The intention is to produce a slate of at least six candidates. If a tie occurs, the next place or places will be skipped. For example, if two people tie for third place, there will be no fourth place. Similarly, if four people tie for fifth place, there will be no sixth, seventh, or eighth places.

2. Each person on the slate must affirm his or her willingness to serve if elected. If a person refuses to serve, his or her name will be removed from the slate and, if the number of nominees drops below six, the next-place person (or persons) will be added and asked to affirm his or her (or their) willingness to serve.

3. The final ballot (consisting of the slate of nominees) will be distributed to the governing faculty before the end of the Winter Term. Each faculty member will vote by ranking all nominees in preferential order. The candidate receiving the highest preferential ranking will be the Ombuds; the remaining candidates will be a ranked set of Alternates.

Comment: When tabulating the votes, the Tellers will assign one point for a last-place vote, two points for a next-to-last-place vote, etc. If a ballot ranks only some of the candidates, one point will be assigned to the last-ranked person, two points to the next-to-last ranked person, etc. If a ballot does not show a clear ranking of any candidates, the ballot will be disallowed.

E. If the Ombuds is not able to participate in a particular grievance, the first Alternate will be asked to carry out the Ombud's responsibilities. If the first Alternate cannot participate, the second Alternate will be asked, etc.

F. An Ombuds or an Alternate should not participate in a particular grievance if the Ombuds or Alternate:

1. is on leave or will be beginning a leave within three months; or
2. was involved in making or specifically affirming the disputed decision; or
3. has significant family or personal association (positive or negative) with one of the parties.

V. Scholarship Committee

There are no "official" rules for committee membership. The undergraduate associate dean chairs this committee. It is suggested that membership of department disciplines already represented on the committee not be duplicated. Faculty that are unavailable for the first full year of the 3-year term are not eligible; however, faculty on leave for only one term are eligible. Membership **does not** exclude part-time regular faculty. This Committee sits for approximately four sessions each year when it evaluates and ranks continuing students at the undergraduate and graduate levels for scholarship consideration. Additional duties include selection of UM Shipman Scholarship nominees, Michigan Youth Ensemble (MYE) auditions and scholarship awards, Organ Day scholarship auditions and scholarship awards and SMTD Commencement awards.

15.
COUNCIL OF DEPARTMENTAL REPRESENTATIVES:
EDUCATIONAL POLICY: PROCEDURES FOR DECISION MAKING

I. Categories of Action and Decision: Agencies of Curricular Responsibility and Authority in the School of Music, Theatre & Dance

A. The fundamental authority of the governing faculty in matters of curriculum is provided in the Bylaws of the Board of Regents. The following are relevant excerpts from those Bylaws (as revised, 1968).

Sec. 5.01 (3). The term "governing faculty," when used in connection with a school or college, shall include those members of the school or college staff who are professors, associate professors, assistant professors, and instructors, provided, however, that instructors of less than one year's standing shall not be entitled to vote at faculty meetings and instructors of one or more year's standing may vote only if authorized to do so by a majority vote of the professorial staff of the appropriate school or college.

Sec. 5.02. In each school or college of the University, the governing faculty shall be in charge of the affairs of the school or college, except as delegated to the Executive Committee. (Rf. Sec. 5.06.)

Sec. 5.03. Subject to the ultimate authority of the Board, the faculty of each school and college is also vested with plenary powers to make rules and regulations concerning other matters such as grading regulations, class attendance, committee organization, and related internal matters.

Sec. 5.04. Each faculty shall adopt rules for its own government and procedure.

Sec. 5.06. If an Executive Committee has been created by the Board for the school, college or department, the dean, director, or head shall be assisted by the Executive Committee of which he/she will be ex officio to the chair. The Executive Committee, in addition to assisting with administrative functions, shall be charged with the duties of investigating and formulating educational and instructional policies for consideration by the faculty and shall act for the faculty in matters of budgets, promotions and appointments.

B. Function and charge of the CDR: The Council of Departmental Representatives is the duly constituted and elected legislative body for the governing faculty of the School. Its function shall be to initiate, legislate, monitor, and review all matters relating to undergraduate educational policy and curricula within the School according to the procedures and lines of responsibilities set forth in the following document. Alteration, modification, or dissolution of the CDR must be by consent and action of the governing faculty.

C. The present Section, together with Sections II and III, which follow, constitute a statement of authority and procedures in the School concerning questions of educational policy and curriculum. The governing faculty and the Executive Committee propose that the authority and responsibility delegated to the Council of Departmental Representatives and other agencies of the faculty in matters of educational policy and curriculum are best delineated by the listing of relevant agencies of decision-making authority and by cross-reference between such a listing and subsequent classifications of areas of policy. Thus, the following list includes reference numbers from 1 to 5 by which appropriate correspondence can be seen with areas of responsibility as listed in Section II.

1. Approval or rejection by the Council of Departmental Representatives in the name of the governing faculty. (The Council of Departmental Representatives may in its judgment refer a particular proposal to its initiator(s) for further study prior to taking action, or it may appoint ad hoc committees to give study to particular matters prior to decision. It may also choose to present issues to the governing faculty for decision in instances and according to procedures hereinafter detailed.)

2. Referral to the governing faculty with recommendations of the Council of Departmental Representatives.

3. Autonomous decision within a department of the School.
(The Council of Departmental Representatives will assume responsibility for those areas having no departmental affiliation.)

4. Referral to the Executive Committee for decision or other disposition.

5. Referral to an appropriate standing committee in the School for decision or other disposition.

D. It is understood that significant budgetary factors involved in any proposal or question will be referred to the Executive Committee. Modified procedures which might be invoked in the unusual circumstances of Terms IIIa-b are discussed as Item N in Section III.

II. Educational Policy and Curriculum: Areas of Consideration

A. The governing faculty and the Executive Committee believe that a clear delineation of the responsibilities of the Council of Departmental Representatives and other agencies of the faculty in areas of educational policy and curriculum is best achieved by a precise listing of projected areas of concern.

B. Each of the following areas of responsibility is accompanied by a reference number linking it to the appropriate decision-making agency listed in Section 1.* In the following index, some items appear in more than one designation, with cross-reference indicated.

1. Approval or rejection by the Council of Departmental Representatives in the name of the Governing Faculty

Academic records

Contents

Admissions policies [see also 3 and Enrollment]

Counseling, policies and procedures

School-wide procedures and policies

Classes

Content, duplications
Credit hours, changes in existing courses
Deletions
Interdisciplinary
New
Numbering
Changes
New courses

Organization

Hours of contact

Degree programs

Waiver of requirements
Waiver without credit of core curriculum
*requirements****
(Individual cases, on departmental initiative)

Enrollment Distribution as to area quotas

L.S. and A., music classes offered in
L.S. and A., music-centered degree program

2. Referral to the Governing Faculty with recommendations of the Council of Departmental Representatives

Academic discipline

Policies

Academic records

Uses

Calendar, academic

Competitions among students, intra-school [procedures 5 and 2]

*Core curriculum***

Classes

Credit hours, core curriculum

Degree programs

Changes in course requirements
Interdisciplinary (establishment or change)
New

Enrollment

School-wide policies as to graduate
undergraduate proportions
Total size

Extra-curricular activities, control and policies

Grading policies, including pass-fail option

Honors Program [procedures 5 and 2]

Juries

Regulations governing academic policy

Terms IIIa, IIIb, and III, policies and review [procedures 4 and 2]

3. Autonomous decision within a department of the School

Admissions [procedures 1 and 3] (see also Enrollment)

Counseling, policies and procedures

Intra-departmental

Classes

*Content, changes***

Descriptions (published)

Materials

Organization

Methods of presentation

Prerequisites

Titles

Degree programs

Waiver of requirements

*Waiver without credit of departmental requirements****

(Individual cases, on departmental initiative)

*Waiver without credit of major ensemble requirements****

(Individual cases on departmental initiative)

*Course Completion by Special Examination****/******

(Individual cases, on departmental initiative)

Enrollment

Intra-departmental distribution as to

graduate-undergraduate proportions

Examination: policies and administration

Studio classes

4. Referral to the Executive Committee for decision or other disposition

Faculty-quality

Terms IIIa, IIIb, and III, policies and review [procedures 4 and 2]

5. Referral to an appropriate standing committee in the School for decision or other disposition

Academic discipline

Individual cases

Competitions among students, intra-school [procedures 5 and 2]

Honors Program [procedures 5 and 2]

Scholarships and awards

* * * * *

Academic Regulations (see Regulations)

Added classes (see Classes, new¹)

Courses

Pass-Fail Option (see current School Bulletin)

Credit hours (see Classes, credit hours^{1,2})

Curricula, professional, changes (see Degree programs³)

Curricula, professional, new (see Degree programs)

Degree programs

Waiver of requirements

Waiver without credit of departmental requirements***³

Waiver without credit of core curriculum requirements***¹

Waiver without credit of major ensemble requirements***³

Waiver with credit and grade of any School course or requirement.

"Class Completion by Special Examination."***/*³

Deletions of classes (see Classes, deletions¹)

Discipline (see Academic discipline^{2,5})

Duplications in classes (see Classes, content¹)

Graduate-undergraduate enrollment distribution (see Enrollment²)

Interdisciplinary programs and courses (see Classes and Degree programs¹)

Numbering of courses (see Classes, numbering¹)

Prerequisites (see Classes, prerequisites³)

Records (see Academic records^{1,2})

Waiver of degree requirements (see Degree programs, waiver)

*See Appendix A for a cross listing of the areas of responsibility by appropriate decision-making agencies.

**Departments offering classes which are part of the Core Curriculum will regularly inform the faculty of the content of such classes, taking into account the concerns of other departments and of individual faculty members in the evaluation of content as practiced in the Core Curriculum and as proposed for change.

***A written record of any waiver is placed in the files of the student, the student's department, and the CDR. (For details of specific procedures to be followed in each category, see Appendix B.)

****Upon initiative of the student's major department, subject to the concurrence of the department or agency within the School whose offering is involved.

III. Procedures

A. The following procedures shall govern the consideration of questions of educational policy and curriculum by the governing faculty, the Council of Departmental Representatives, and departments of the School.

B. Membership and Administration

1. The Council of Departmental Representatives shall consist of one appointed Representative from the membership of each department.

2. Each department in the School will elect from its membership, according to its own stipulations of eligibility and terms of office, a regular Departmental Representative and an Alternate. The Alternate member will represent the department at meetings of the Council when the Departmental Representative is absent, and it is the responsibility of the Departmental Representative to arrange such representation of his department by the

designated Alternate whenever s/he anticipates that he cannot attend. The Alternate representative may attend any meeting of the Council of Departmental Representatives as a non-voting participant in addition to the Departmental Representative, but when s/he attends in the Departmental Representative's absence, s/he shall exercise a vote.

3. If, at a Council meeting, more than five departments are unrepresented, the Council shall be considered to lack a quorum.

4. The Council of Departmental Representatives will elect from its membership a chair and vice-chair, such election to be by written, preferential ballot, and to be held at the earliest opportunity in the fall of each year.

5. The dean of the School will appoint an executive secretary, ex officio and without vote. In addition to taking and distributing minutes of the Council's meetings, the executive secretary will be responsible for convening the Council in its first fall meeting of each year, and shall act as the Council's chair *pro tem* until the election of chair and vice-chair shall be completed. S/he shall also be responsible for receiving, reformulating as necessary, duplicating, and disseminating among appropriate faculty and administrative officers all of the communications outlined as part of these procedures. The executive secretary will be familiar with the stated requirements of timing in these communications. The dean will also designate a clerical assistant to the Council, a member of the clerical staff of the School, who will assist the executive secretary in any ways the executive secretary deems useful. The clerical assistant will not be a member of the Council and will attend Council meetings only at the discretion of the executive secretary and the chair. Both the executive secretary and the clerical assistant will serve in the respective capacities for indefinite terms at the pleasure of the dean.

6. The voting membership of the governing faculty and its rules of procedure are as elsewhere stipulated and defined.

C. Meetings

1. The Council of Departmental Representatives will meet within two weeks of the opening of classes in the Fall Term of each year, and it will meet regularly during the academic year. It may, however, meet more or less frequently on the advice of the chair as sessions of the Council may or may not be needed to deal with pending business.

2. The Council may be convened on petition of two of its members to the chair.

D. Communications

1. Proposals affecting undergraduate educational policy, to be submitted to the Council of Departmental Representatives either in matters in which it holds final authority or in matters in which it recommends action by the faculty, must be presented in writing to the executive secretary of the Council not later than two weeks prior to the meeting on which action will be taken on a proposal. The executive secretary will in turn arrange for the consolidation and circulation among Council members of all pending proposals not later than one week prior to the meeting at which the Council is to give consideration to such proposals. Requests for individual waiver of courses in the core curriculum will be handled by the Council of Departmental Representatives without communication to the Council and without observing the prescribed two-week time limitation.

2. The Council of Departmental Representatives will notify the entire Faculty of all actions on undergraduate educational policy and curriculum shortly after each meeting. The executive secretary will arrange for such notification. S/he will also circulate among the faculty the minutes of each meeting within one week of their formal approval by the Council.
3. In the case of any action involving the forwarding or recommendations for decision of the governing faculty, notification must be given to the entire faculty not later than two weeks prior to the meeting of the governing faculty at which action is to be considered. Such notification will include any stated recommendations or other relevant views of members of the Council of Departmental Representatives.
4. All other committees of the School accorded responsibility in matters of educational policy are urged to keep the faculty informed of any action taken, whether of decision, referral, or discussion and review.
5. Information concerning matters decided within departments, under the authority of the foregoing provisions, will be distributed to all departments promptly following the time at which the action is taken.
6. Individual members of the faculty may request access to the Council of Departmental Representatives for the purpose of observing without participation or giving testimony concerning pending business by contacting the chair for permission, not later than one week prior to the projected meeting.
7. The governing faculty and the Executive Committee regard as extremely crucial the procedures of intercommunication by which the various units of the faculty are informed of pending questions of educational policy.

E. Appeal

1. Any faculty member, group, department, or committee may appeal to the governing faculty any action or inaction of the Council of Departmental Representatives, of individual departments, or of other faculty agencies concerned with educational policy.
2. Notice of intent to make such appeal, and of the reasons for the appeal, will be distributed to the entire faculty not later than two weeks prior to the meeting of the governing faculty at which the appeal is to be heard. Moreover, such notice of appeal (if contesting an action taken) must be given not later than two weeks following distribution of notification of the action to be appealed. If, however, the appeal concerns inaction by the Council or a department or committee in a matter pending, notice of appeal to the governing faculty must show that action has been withheld for an unreasonable time.
3. In the event a department of the School contests and appeals an action of another department, committee, or of the Council of Departmental Representatives, that action will be considered to be in abeyance and may not take effect pending the outcome of the appeal.

F. Voting

1. Any matter within the final jurisdiction of the Council of Departmental Representatives

must have for adoption the affirmative vote of three-fourths of the quorum of the Council. Any matter within the Council's final jurisdiction lacking such vote but having the affirmative vote of a majority of the quorum will be forwarded to the governing faculty for consideration and decision, under the provisions of communications previously detailed. Any matter within the Council's final jurisdiction failing to achieve the affirmative vote of a majority of the quorum will be considered to be rejected.

2. Matters of undergraduate educational policy requiring referral by the Council to the governing faculty or to other agencies of the Faculty must have a majority vote of the quorum of the Council in favor of such referral and approving any recommendation accompanying the referral. Should a majority of the Council's quorum favor the referral of a question to the governing faculty, but not an accompanying recommendation, the referral may nevertheless be made providing a statement of dissenting opinion(s) is also transmitted to the faculty.

3. Persons holding ex officio positions on the Council shall sit without vote. The chair of the Council will vote as a member of the Council.

4. All other committees of the School accorded responsibility in matters of educational policy are urged to keep the faculty informed of any action taken, whether of decision, referral, or discussion and review.

G. Amendment of Sections I, II, and III of this Report

1. Those Sections of this report (I, II, and III) presented for official action are subject to amendment at any future time to bring them into conformity with changing conditions in the School or to correct any ambiguities, omissions, or other problems in the statements of procedure, responsibility, and authority.

2. Proposals for amendment of provisions of Sections I, II, and III of this report may be initiated by committees of the School, individual faculty members, departments of the School, or administrative officers of the School. All proposals for amendment must be reported to the governing faculty, and decision respecting such proposed amendments is reserved to the governing faculty.

3. In the event of any proposed amendment, notification must be distributed to the entire faculty not later than two weeks prior to the meeting of the faculty at which action is to be considered. Such notification will include the proposed change in explicit wording and will state the reasons for which the amendment is proposed.

H. Student Participation -The Council of Departmental Representatives is accorded the authority to invite advisory student participation in its deliberations on matters of curriculum and undergraduate educational policy as it may deem appropriate and useful.

I. Origin of Proposals - The Council of Departmental Representatives will receive proposals for its consideration from faculty and student individuals or groups, the deans of the School, standing committees of the faculty of the School, departments of the School, or other units of the University. Such proposals must be submitted to the Council in accord with the foregoing provision concerning communications.

- J. Ad Hoc Studies -The Council of Departmental Representatives, the governing faculty, and other agencies of the faculty of the School may establish ad hoc studies of particular questions as may be deemed useful. Such studies will become advisory to the establishing agency. Ad hoc studies contributing to negative or positive recommendation in matters referred to the governing faculty will be summarized or otherwise incorporated as part of the communication of such recommendation.
- K. Referral Other Than to the Governing Faculty -The Council of Departmental Representatives, the governing faculty, and other agencies of the faculty may refer pending questions to committees of the School, to the administrative officers of the School, or to individual departments within the School for advice and counsel as may be deemed useful.
- L. Invited Testimony -The Council of Departmental Representatives, the governing faculty, and other agencies of the faculty may invite testimony from persons within the School or from other units of the University as may be deemed useful in the resolution of pending questions.
- M. Liaison with Corresponding Committees in Other Units -In matters of undergraduate educational policy and curriculum involving other units of the University, and in matters in which contact with other units of the University may be deemed desirable, the Council of Departmental Representatives will establish liaison with the Curriculum Committees of the other schools and colleges.
- N. Terms IIIa and IIIb
1. Departments and individual faculty members must, if the responsibilities and procedures detailed here are to have significant meaning and effectiveness, foresee well in advance all policy decisions of curriculum and undergraduate educational policy which require action by the Council of Departmental Representatives and the governing faculty. Such advance projection of needed decisions must of course take into account the time required for all requisite communications and deliberations.
 2. It is recognized, nevertheless, that there are times in the calendar year when decision-making agencies of the faculty are not easily available and the governing faculty and the Executive Committee acknowledge that there may be occasional need in urgent situations for prompt consideration of, and action on, proposals occasioned by circumstances that cannot be foreseen. It is for such urgent and occasional need that the following irregular procedures are set forth.
 3. In Terms IIIa and IIIb, the Council of Departmental Representatives will include those Representatives in residence in Ann Arbor; departments whose Representatives are not in local residence will be represented by the elected Alternate Representatives. Rules of communication as established in Section 3 will apply.
 4. In the event a quorum of the Council of Departmental Representatives is unavailable, the Executive Committee is authorized to act provisionally, subject to subsequent confirmation of its action by the Council. In such extremely rare instances the Executive Committee will accept no questions which do not lie within the final jurisdiction of the Council of Departmental Representatives. Actions reserved to the governing faculty will not be proposed during terms IIIa and IIIb.

16.
FACULTY COUNCIL ON GRADUATE STUDIES:
PROCEDURES FOR DECISION-MAKING

I. Categories of Action and Decision: Agencies of Curricular Responsibility and Authority

- A. This section of the handbook constitutes a statement of authority and procedures concerning questions of educational policy and curriculum related to graduate degree programs in music and dance, including those authorized and administered by the Horace H. Rackham School of Graduate Studies.
- B. It is understood that the authority assigned in this document is circumscribed by all policies and procedures established by the University, the School, and the Horace H. Rackham School of Graduate Studies. The executive secretary of the Faculty Council on Graduate Studies will be responsible for referring to the executive officers of the School and executive board of the Horace H. Rackham School of Graduate Studies, as appropriate, matters in which the Faculty Council on Graduate Studies and the graduate faculty of the School do not hold final authority.
- C. The following list includes reference numbers from 1 to 5 by which areas of responsibility are identified as listed in Section II.
1. *Approval or rejection by the Faculty Council on Graduate Studies in the name of the governing faculty.* (The Faculty Council on Graduate Studies may refer a proposal to its initiator(s) for further study prior to taking action, or it may appoint ad hoc committees to study matters prior to decision. It may also choose to present issues to the governing faculty for decision in instances and according to procedures hereinafter detailed.)
 2. *Referral to the governing faculty with recommendation of the Faculty Council on Graduate Studies.*
 3. *Autonomous decision within a department of the School.*
(A great deal of final authority is delegated to the individual departments. While a department's graduate programs may be administered by an individual or by a committee, responsibilities under this category are assigned to the entire graduate faculty of the particular department.)
 4. *Referral to an appropriate standing committee in the School for decision or disposition.*
 5. *Decision by committee(s) administering examination.*
- D. It is understood that significant budgetary factors involved in any proposal or question will be referred to the School's Executive Committee. Modified procedures which might be invoked in the unusual circumstances of Terms IIIa and IIIb are discussed in section III-J.

II. Educational Policy and Curriculum: Areas of Responsibility

- A. The responsibilities of the Faculty Council on Graduate Studies are hereby defined as those related to graduate programs in music leading to degrees authorized and administered by

the School and the Horace H. Rackham School of Graduate Studies.

- B. The principal responsibility of the Faculty Council on Graduate Studies is to evaluate the philosophy, content, and operation of all graduate degree programs in music and, whenever indicated, to review and/or develop proposals for changing or deleting existing programs and for initiating new programs.
- C. Each of the following areas of responsibility is accompanied by a reference number identifying the appropriate decision-making agency listed in Section I. In the following index some items appear in more than one designation, with cross-reference indicated.

1. Approval or rejection by the Faculty Council on Graduate Studies in the name of the governing faculty

Academic discipline

Policies

Academic records

Contents

Counseling, policies and procedures

School-wide

Courses, numbered below 500

Listing in the Rackham Bulletin

Courses, numbered 500 or above

Content, duplications

Credit hours, changes in existing courses

Deletions

Interdisciplinary

Listing in the School and Rackham Bulletins

Interdisciplinary

New

Degree programs

Changes in curriculum requirements

Interdisciplinary

Changes

Waiver of departmental degree requirements [procedures 3 and 1]

Examinations

Course (see Courses)

Final oral

Policies

Preliminary

General Policies

2. Referral to the governing faculty with recommendation of the Faculty Council on Graduate Studies

Academic records

Uses

Calendar, academic

Competitions among students, intra-school [procedures 4 and 2]

Degree programs

*Interdisciplinary
Establishment
New
Enrollment
Distribution as to area quotas
School-wide policies as to graduate-undergraduate proportions
Total size
Grading policies
Regulations governing academic policy*

3. Autonomous decision within a department of the School

*Academic discipline
Individual cases
Admissions, policies (also see Enrollment)
Counseling, policies and procedures
Intra-departmental
Courses, numbered 500 or above
Content, changes
Descriptions (published)
Examinations
Descriptions (published)
Examinations
Materials
Numbering
Changes
New Courses
Organization
Hours of contact
Methods of presentation
Prerequisites
Titles
Degree programs
Waiver of departmental degree requirements
[procedures 3 and 1]
Enrollment
Intra-departmental distribution as to
graduate-undergraduate proportions
Examinations
Preliminary
Major Policies
Financial Awards
Research (may involve more than one department)
Specific recommendations
Teaching (may involve more than one department)
Juries*

4. Referral to an appropriate standing committee in the School for decision or disposition.

Competitions among students, intra-school [procedures 4 and 2]

5. Decision by committee(s) administering examination.

Examinations

Course (see Courses)

Final oral

Administration and evaluation

Preliminary

General

Administration and evaluation

Major

Administration and evaluation

* * * * *

Academic regulations (see Regulations)

Added courses (see Courses)

Credit hours (see Courses)

Curricula, changes (see Degree programs)

Curricula, new (see Degree programs)

Deletions of courses (see Courses)

Discipline (see Academic discipline)

Duplications in courses (see Courses)

Graduate credit for undergraduate courses (also see
Rackham Announcement)

Graduate-undergraduate enrollment distribution (see Enrollment)

Interdisciplinary programs and courses (see Courses
and Degree programs)

Numbering of courses (see Courses)

Prerequisites (see Courses)

Records (see Academic records)

Terms IIIa, IIIb, and III (see Section III-J)

III. Procedures

A. Membership

1. The Faculty Council on Graduate Studies shall consist of one elected Representative from the membership of each department and the associate dean for graduate studies (ex officio).
2. The graduate faculty of each department will elect from its membership according to its own stipulations of eligibility a regular Departmental Representative and an Alternate, both of whom should have extensive advising experience at the graduate level. The Alternate will represent the department at meetings of the Faculty Council on Graduate Studies when the Representative is absent, and it is the responsibility of the Representative to arrange such representation whenever he or she anticipates inability to attend. The Alternate may attend any meeting of the Faculty Council on Graduate Studies as a nonvoting participant in addition to the Representative, but when he or she attends in the Representative's absence the Alternate shall exercise voting power.

3. A quorum shall consist of three-quarters of the Representatives or Alternates from the departments offering graduate programs.
- B. Administration
1. The Faculty Council on Graduate Studies will elect from its membership a chair and a vice-chair.
 2. The associate dean for graduate studies will be responsible for convening the Council in its first fall meeting of each year, and shall act as the chair pro tem until the election of the chair and vice-chair.
 3. The associate dean for graduate studies will also be responsible for taking and distributing minutes of the Faculty Council on Graduate Studies meetings, receiving, reformulating as necessary, duplicating, and disseminating among appropriate faculty and administrative officers all the communications outlined as part of the procedures, and be familiar with the stated requirements of timing in these communications.
 4. The voting membership of the governing faculty is as defined by the School or the Horace H. Rackham School of Graduate Studies.
- C. Meetings
1. The Faculty Council on Graduate Studies will meet within two weeks of the opening of classes in the Fall Term each year, and it will normally meet once a month during the academic year. It may, however, meet more or less frequently on the advice of the chair as sessions of the Faculty Council on Graduate Studies may or may not be needed to deal with pending business.
 2. The Faculty Council on Graduate Studies may be convened on petition of two of its members to the chair.
- D. Communications
1. Proposals affecting educational policy to be submitted to the Faculty Council on Graduate Studies, either in matters in which it holds final authority or in matters in which it recommends action by the faculty, must be presented in writing to the executive secretary not later than three weeks prior to the meeting at which the proposal is to be considered. The executive secretary will in turn arrange for the consolidation, duplication, and circulation among the faculty of all pending proposals not later than two weeks prior to the meeting at which the Faculty Council on Graduate Studies is to give consideration to such proposals.
 2. The Faculty Council on Graduate Studies will notify the faculty of all actions on educational policy and curriculum shortly after each meeting. The executive secretary will circulate among the Faculty the Minutes of each meeting within one week of their formal approval by the Faculty Council on Graduate Studies.
 3. In the case of any action involving the forwarding of recommendations for decision of the Governing Faculty, notification must be given to the Faculty not later than two weeks prior to the meeting of the Governing Faculty at which action is to be considered.

Such notification will include any stated recommendations or other relevant views of members on the Faculty Council on Graduate Studies.

4. Information concerning matters decided within departments, under authority of the foregoing provisions, will be distributed to all departments promptly following the time at which the action is taken.
5. Individual members of the Faculty may request access to meetings of the Faculty Council on Graduate Studies for the purpose of observing or giving testimony concerning pending business.

E. Appeal

1. Any faculty member, group, department, or committee may appeal to the governing faculty any action or inaction of the Faculty
2. Council on Graduate Studies, of individual departments, or of other faculty agencies concerned with educational policy.
3. Notice of intent to make such appeal, and of the reasons for the appeal, will be distributed to the faculty not later than two weeks prior to the meeting of the governing faculty at which the appeal is to be heard. Moreover, such notice of appeal (if contesting an action taken) must be given not later than two weeks following distribution of notification of the action to be appealed. If, however, the appeal concerns inaction by the Faculty Council on Graduate Studies or a department or a committee in a matter pending, notice of appeal to the governing faculty must show that action has been delayed for an unreasonable time.
4. In the event a department contests and appeals an action of another department, committee, or the Faculty Council on Graduate Studies, that action will be considered to be in abeyance and may not take effect pending outcome of the appeal.

F. Voting

1. Any matter within the final jurisdiction of the Faculty Council on Graduate Studies must have for adoption the affirmative vote of a majority of the elected representatives. Any matter within the Council's final jurisdiction lacking such vote but having the affirmative vote of a majority of the quorum will be forwarded to the governing faculty for consideration and decision under the provisions of communications previously detailed. Any matter within the Council's final jurisdiction failing to achieve the affirmative vote of a majority of the quorum will be considered to be rejected.
2. Matters of educational policy requiring referral by the Faculty Council on Graduate Studies to the governing faculty or to other agencies of the faculty must have a majority vote of the quorum of the Faculty Council on Graduate Studies in favor of such referral and approving any recommendation accompanying it.
3. Persons holding ex officio positions on the Faculty Council on Graduate Studies shall sit without vote.

G. Amendments to FCGS Procedures

1. This document is subject to amendment at any time.
 2. Proposals for amendment of provisions of this document may be initiated by committees of the School, individual faculty members, departments, or administrative officers of the School or of the Horace H. Rackham School of Graduate Studies. All proposals for amendment must be reported to the governing faculty, and decision respecting such proposed amendments is reserved to the governing faculty.
 3. In the event of any proposed amendment, notification must be distributed to the faculty not later than two weeks prior to the meeting of the faculty at which action is to be considered. Such notification will include the proposed change in explicit wording and will state the reasons for which the amendment is proposed.
- H. Student Participation The Faculty Council on Graduate Studies is authorized to invite advisory student participation on matters of curriculum and educational policy as it may deem appropriate.
- I. Origin of Proposals The Faculty Council on Graduate Studies may receive proposals for consideration from faculty and student groups or individuals, the deans of the School, standing committees of the faculty, departments, or other units of the University.
- J. Terms IIIa and IIIb
1. Departments and individual faculty members must foresee well in advance all policy decisions of curriculum and educational policy which require action by the Faculty Council on Graduate Studies and by the governing faculty. Such advance projection of needed decisions must take into account the time required for all requisite communications and deliberations.
 2. It is recognized that there are times in the calendar year when decision-making agencies of the faculty are not easily available. As a result, there may be urgent situations requiring prompt action on proposals occasioned by circumstances. It is for such unusual need that the following procedures are set forth.
 3. In Terms IIIa and IIIb the Faculty Council on Graduate Studies will include those members in residence in Ann Arbor; departments whose representatives are not in local residence will be represented by elected Alternate Representatives. Rules of communication as established in Section III will apply.

In the event a quorum of the Faculty Council on Graduate Studies is unavailable, the Executive Committee is authorized to act provisionally, subject to subsequent confirmation of its action by the Council. In such instances the Executive Committee will accept only questions which lie within the final jurisdiction of the Faculty Council on Graduate Studies. Actions reserved to the Governing Faculty will not be proposed during Terms IIIa and IIIb.

17.
DEPARTMENTAL APPOINTMENTS

- A. In consultation with departmental faculty and preferably by election, the chair shall appoint faculty to fulfill various administrative functions within the department, depending on need. The chair will report the names of faculty serving as department coordinator, departmental director of graduate studies, and departmental graduate student assistant (hereinafter GSA) coordinator no later than the second week of classes in the fall term to the offices of the dean and associate deans.
- B. The duties of department coordinator, departmental director of graduate studies, and departmental GSA coordinator are as follows:
 - 1. The department coordinator assists the chair with his or her responsibilities except as they involve faculty evaluation and recommendations for promotion.
 - 2. The departmental director of graduate studies is the primary advisor for graduate students in the department, serves as chair of the department's graduate admissions committee, and represents the department in the Faculty Council on Graduate Studies.
 - 3. The departmental GSA coordinator assists the chair in assigning and monitoring teaching and other responsibilities assigned to graduate students in the department.
- C. An individual faculty member, including the chair and divisional director, may simultaneously hold more than one departmental administrative position (namely as department coordinator, departmental director of graduate studies, and departmental GSA coordinator).
- D. The appointment of department coordinator, departmental director of graduate studies, and departmental GSA coordinator are normally made for one year and may be renewed.

18.
**PROCEDURES FOR THE APPOINTMENT OF DEPARTMENT
CHAIRS**

- A. The principal function of the chair shall be to provide strong leadership in the department. Responsibilities include the assignment of instructional loads (in consultation with the dean), faculty evaluation (unless the dean, in consultation with the chair, departmental faculty, and the Executive Committee, assigns this duty to the divisional director), qualification for undergraduate departmental admissions, recommendations for promotion, program development, and miscellaneous administrative functions as assigned by the dean. A chair may not simultaneously serve as divisional director.
- B. The dean will meet with members of the department two months prior to the selection of a new chair. The purpose of this meeting will be to discuss present and future needs of the department in program, staffing, student quality, and other matters as appropriate.
- C. The dean will later meet with individual members of the department, upon request, in a private interview during which time confidential views can be exchanged.
- D. A confidential preferential balloting, supervised by the Executive Committee, will be conducted in order to ascertain those members of the department for whom there exists support for service as department chair. All eligible members of the department will be included on this ballot. A second balloting may be conducted among the preferred choices, if appropriate.
- E. Prior to making an appointment of the chair, the dean will review the results of both the balloting and the interviews with the Executive Committee.
- F. The selection of the department chair is the responsibility of the dean, with the concurrence of the Executive Committee.
- G. Appointments will normally be made for three years.

19.
PROCEDURES FOR THE APPOINTMENT OF
DIVISIONAL DIRECTORS

- A. The principal function of the divisional director is to coordinate the various activities of departments and/or units under his or her supervision. Responsibilities include consulting with departmental chairs, convening divisional meetings, evaluating chairs in the division, evaluating the faculty in his or her department (unless the dean assigns this responsibility to the chair in consultation with the divisional director, departmental faculty, and the Executive Committee), miscellaneous administrative functions as assigned by the dean. A divisional director may not simultaneously serve as chair.
- B. The selection of divisional directors is the responsibility of the dean, in consultation with department chairs with the concurrence of the Executive Committee. Appointments will normally be made for three or five years.

20.
POLICY ON RETIREMENT OF A FACULTY MEMBER
(STANDARD PRACTICE GUIDE 201.83)

I. Policy

The University offers its faculty and staff members the option of retiring completely or “phasing” into retirement by various combinations of partial appointments, partial annuities, and for eligible professorial staff a partial furlough. “Phased” retirement must have departmental approval.

PLEASE NOTE: There will be changes to retiree health benefits which begin to take effect on January 1, 2013. Generally, changes that will occur over time will affect the number of years of service required in order to retire with benefits and the amount the University will contribute each month toward the coverage of a retiree and his or her dependents. The degree of impact on an individual depends on when they retire. Specific information about the changes and timing of implementation can be found at:

<http://benefitsstewardship.umich.edu> and on the Benefits Office website.

II. Definitions

A. RETIREE

A retiree is a University designated title for any individual who voluntarily terminates from the University and who meets the following age and years of service requirements with a regular or supplemental appointment:

<i>AGE</i>	<i>YEARS OF CONTINUOUS SERVICE AS OF LAST DAY OF PAY</i>
50 or younger	30
51	28
52	26
53	24
54	22
55	20
56	18
57	16
58	14
59	12 *
60	10 *

*The service requirement of 12 years at age 59 and 10 years at age 60 and above will apply to all staff members employed on or after October 1, 1983. The service requirements for those hired earlier are 10 and 5, respectively.

B. PHASED RETIREMENT

Phased retirement refers to reduced appointments, which may be combined with full or partial annuities and partial retirement furlough (if applicable) to assist an individual in preparing for retirement. The individual must be eligible to retire prior to beginning phased retirement.

C. RETIREMENT FURLOUGH (consultantship)

A retirement furlough is that period of time when a regular, professorial staff member hired prior to January 1, 1984, age 62 or older, and meeting other eligibility requirements, is relieved of normal responsibilities and may be called upon to act in a consulting capacity to the University or to conduct research in his/her field of interest (See SPG 201.81 for further details about the Retirement Furlough). The furlough may be taken for the total appointment period or in installments over two or three years as part of a phased retirement program.

D. DETERMINATION OF YEARS OF SERVICE

1. Years of service are determined by counting the continuous years employed in a status that was eligible for retirement plan participation.
2. Approved leaves of absence without salary and periods of non-appointment are counted as active service and maintain continuity of service provided the staff member returns to work with a regular or supplemental appointment following each leave or period of non-appointment.

III. Regulations

A. FULL RETIREMENT

Eligible individuals selecting full retirement are terminated from active status. The benefits for those who are fully retired include:

1. The retiree may begin receiving full or partial TIAA-CREF annuity payments immediately upon retirement or may defer payments according to TIAA-CREF rules and regulations.
2. Certain benefits are continued by the University for staff members whose eligibility for those benefits was maintained during all years of continuous service needed to be eligible for retirement:
 - a. Group health and dental care coverage continued for retiree and eligible dependents, if any. For group health, the University's contribution will be no more than the University's contribution towards the cost of Blue Cross/Blue Shield. The University reserves the right to require co-payments by retirees and their dependents towards health insurance premiums. If, at retirement, the retiree and/or spouse is covered by group health insurance through a spouse's employer and at some later date that insurance is involuntary canceled and is no longer available even at the employee's expense, the retiree and/or spouse, if any, may transfer to corresponding University coverage. Contact the Office of Staff Benefits for rules applicable to staff members retired prior to April 1, 1981.
 - b. Decreasing Term Life Insurance is continued at University expense.
 - c. Retirees with a date of service on or after July 1, 1988, will pay the full cost of these plans up to the month they turn 62. A department has the option of paying the pre-age 62 cost if it wishes to encourage early retirement. On and after age 62, the University's contribution will be as specified in "a" and "b" above.
3. Periodic Health Appraisal eligibility is continued into retirement.
4. University of Michigan Record publications are sent to all retirees.
5. Medicare Part B reimbursement to the extent provided by the University, may begin once coverage begins and application is made.
6. Library privileges and Athletic Ticket discounts are continued.
7. Parking privileges may be requested.

8. Retirees age 65 and older may enroll in any university courses for which they are properly qualified and pay 50% of the announced fee. HRD programs are offered to all retirees at 50% of the announced fee. An individual eligible to retire prior to going on a leave or layoff may retire during or at the end of the leave or layoff. Benefits available to retirees which are not continued during leave or layoff will be reinstated as of the date of retirement.

B. PHASED RETIREMENT

1. Eligible individuals selecting phased retirement must reduce time worked by electing to continue working on a partial appointment basis or schedule a combination of time off with time worked.
2. A phased retirement plan must be requested by a staff member in writing and approved by the department head at least one year prior to the start date. Once a plan is established and implemented, it should remain in effect until complete retirement. Modifications to succeeding years can be made only with the approval of the department head.
3. Either full or partial TIAA-CREF annuity payments may begin at age 59 1/2 or older.
4. Salary earned during the phased retirement period will be paid in accordance with standard payment plans.
5. Benefits during Phased Retirement:
 - a. Should a faculty or staff member be placed on a leave of absence or layoff while on phased retirement, University and employee contributions towards benefits will be based on the rules regarding the leave of absence or layoff rather than phased retirement.
 - b. GROUP HEALTH PLAN COVERAGE -Coverage and University contributions continue during periods without pay as well as periods with pay. The staff member must make arrangements in advance with the Office of Staff Benefits to continue staff member contributions, if any, during periods without pay.
 - c. GROUP DENTAL ASSISTANCE PROGRAM - Coverage and University contributions continue during periods without pay as well as periods with pay.
 - d. GROUP LIFE INSURANCE -The usual insurance amounts and usual University contributions continue during periods without pay as well as periods with pay except that when there is a reduction in base annual salary, insurance will continue at the same level for up to two years, and then adjust for salary at that time. During periods without pay, the individual must make arrangements in advance with the Office of Staff Benefits to continue staff member contributions.
 - e. SOCIAL SECURITY - Payments can begin as early as age 62 for any month that the individual does not earn more than the Social Security monthly limit. The year in which Social Security benefits begin is “the year of retirement.” After “the year of retirement,” eligibility for monthly Social Security payments is based on an annual earnings test rather than a monthly earnings test. Contact your Social Security Office for details.
 - f. LONG TERM DISABILITY -Disability Plan protection during leaves without salary will normally continue for up to twelve months. During leaves without salary or reduced effort, disability benefits will be based upon the average salary including furlough income, if any, for the remainder of phased retirement. The salary base for such determination of disability salary and benefits will not exceed the University paid base amount unless individual’s contributions, if any, have been continued. Disability benefits will begin after the exhaustion of sick and vacation pay and will cease at the end of the previously scheduled phased retirement period.

- g. VACATION BENEFITS - Faculty on a one month in twelve vacation plan will use vacation during periods of work assignments.

C. COMPULSORY RETIREMENT AGE

No faculty or staff member has a compulsory retirement age.

D. PREPARING FOR RETIREMENT PROGRAMS

Periodically the University Human Resource Development Office and the Medical Center Training and Development Office offer “Preparing For Retirement” seminars to all regular faculty and staff members who wish to enroll in the seminars.

E. RE-EMPLOYMENT OF UNIVERSITY RETIREES

An emeritus faculty member may be reappointed for a period not exceeding one year by express action of the Regents if they have not taken a retirement furlough. Such appointments may be renewed only by action of the Regents. Any other retiree may be re-employed as a regular or temporary faculty or staff member based on the nature of the position involved (Please see SPG 201.49 Rehire/Reinstatement and SPG 201.57 Temporary Employment).

IV. Procedures

- A. Professorial staff member submits a written request indicating specific plans and effective date of complete retirement to appropriate chair and dean not less than twelve months preceding the anticipated retirement effective date. If the faculty member meets the retirement furlough requirements, the year of requested furlough must also be noted.
- B. Contact the office of Staff Benefits concerning retirement procedure.
- C. The dean of the School will prepare a written retirement agreement for the faculty member’s signature.
- D. After review of the retirement agreement, the faculty member will sign the agreement and return it to the office of the dean for processing.
- E. The office of the dean will provide copies to all relevant units of the University.
- F. At the appropriate time, the office of the dean will prepare and submit to the Board of Regents, sixty days prior to retirement date, a retirement memoir to effectuate emeritus/ae status.

21.

POLICY ON RETIREMENT FURLOUGH (APPLIES TO REGULAR INSTRUCTIONAL STAFF PROFESSORIAL RANKS ONLY) (STANDARD PRACTICE GUIDE [201.81](#))

I. Policy

A regular, instructional staff member of professorial rank hired prior to January 1, 1984, who meets the eligibility requirements is eligible for a terminal furlough year that may be taken as the last year preceding retirement or in partial installments over two or three years prior to the effective date of retirement, during which time the staff member is relieved of normal responsibilities and may be called upon to act in a consulting capacity to the University or to conduct research in his/her field of interest.

II. Regulations and Definitions

A. ELIGIBILITY

1. Professorial staff members are eligible for a retirement furlough provided:
 - (a) The individual holds a regular appointment as an assistant professor, associate professor or professor. Any appointment fraction, including zero qualifies.
 - (b) The individual was employed by the University in a regular instructional capacity prior to January 1, 1984, and has been employed by the University in any regular instructional or non-instructional position for at least ten consecutive years of active service prior to the effective date of the beginning of a full or phased retirement furlough.
 - (1) Years of service are determined by the number of annual appointment periods (i.e., ten twelve-month appointments, or ten University-year appointments, or a combination of the two totaling ten).
 - (2) Approved leaves of absence without salary are not counted in determining the ten-year eligibility requirement of active service. Approved leaves of absence without salary, however, do maintain the continuity of service.
 - (3) Approved leaves of absence with salary are counted as active service and maintain the continuity of service.
 - (c) The individual has reached his/her 62nd birthday. The individual may not begin a furlough year until the beginning of the next academic term following his/her 62nd birthday.
 - (d) The individual has not taken sabbatical leave during the four years preceding the beginning date of the retirement furlough.
 - (e) The individual is in an active work status at the time the retirement furlough is requested. A retirement furlough may not be requested while on extended sick leave or long term disability.

B. DURATION AND COMPENSATION

1. A retirement furlough may be granted for the total annual appointment period or in partial installments of at least a term's duration over two or three consecutive years. The annual appointment period is defined as either a twelve-month or a University-year period. Payments for retirement furlough will be made in accordance with standard Payroll payment procedures. Payments will not be made in a lump sum nor will they be deferred to some period after the retirement furlough is actually taken.
2. An individual granted a retirement furlough for a total annual appointment period without installments shall receive payments at the salary rate paid in the previous appointment period. The staff member granted a retirement furlough in partial installments supplemented with work assignments shall receive appropriate merit salary adjustments on the work assignment and furlough portions, if any, up to the year preceding full retirement. The salary and furlough rates during the final year will be equal to the salary rate in the previous appointment period.
3. The amount of retirement furlough benefit to which a person is entitled is determined by the average of appointment fractions existing during the ten years of service preceding the beginning of a furlough.

NOTE: Individuals who were previously full-time but hold part-time appointments as part of a formally approved phased retirement program which has been approved in advance in writing prior to the implementation of a full or phased retirement furlough, are entitled to furlough benefits based on the use of their pre-phased retirement appointment fraction for the phased retirement period.

C. PHASED RETIREMENT

Phased retirement refers to reduced appointments which may be combined with full or partial annuities and partial retirement furlough, if applicable, to assist an individual in preparing for retirement. The individual must be eligible to retire prior to beginning phased retirement.

1. Eligible individuals may begin furlough payments in conjunction with part-time work or phased retirement leave without salary. Either full or partial TIAA-CREF annuity payments may begin. Up to three different starting dates may be chosen for each contract. For further information, contact the Office of Staff Benefits.
2. A "phased retirement leave without salary" will be issued to cover normal work periods when the person is not working.
3. The combination of partial retirement furlough and reduced working appointment may not exceed a total appointment fraction of 100% for the normal appointment period.

NOTE: The rationale for establishment of the phased retirement program was to allow the staff member to reduce the normal workload as complete retirement approaches. Retirement furlough appointments are not granted during normal non-work periods, such as between terms of the University year.

D. COMPLETION OF RETIREMENT FURLOUGH

Upon completion of the retirement furlough or of a phased retirement program which utilizes a retirement furlough, the individual will be placed on retirement status. (See SPG 201.83, Retirement, and SPG 201.80, Emeritus Professors.)

E. STAFF BENEFITS DURING RETIREMENT FURLOUGH

Coverage provided by the Group Health Care Programs, Dental Assistance, and the Group Life Insurance Plan is continued during the retirement furlough. For those who elect a phased retirement program, the University's contributions to the above plans will continue during all periods of the phased retirement program--those shown as leave without salary as well as during periods with pay when there are work assignments or retirement furlough. Individuals must make arrangements in advance with the Office of Staff Benefits to continue any necessary staff member contributions during periods without salary.

F. RETIREMENT PLAN (TIAA-CREF)

University retirement plan contributions will continue during periods with pay (i.e., work or furlough periods) for individuals who elect a phased retirement program, and during the entire year for individuals who elect one annual appointment year furlough. During phased retirement leave without salary, the staff member may continue retirement plan contributions though the University will not contribute.

G. SOCIAL SECURITY BENEFITS AND TAXES

Social Security benefits are governed by federal law. Eligibility during the retirement furlough should be determined by direct discussion and arrangements with the local Social Security Office. Withholding for federal and state income tax and social security tax will be taken from furlough earnings.

H. SICK LEAVE PLAN

Individuals electing a retirement furlough in partial installments supplemented with work assignments are covered by sick leave benefits during the work assignment portion of the appointment only. No sick leave benefits are available during the retirement furlough portion.

I. VACATION BENEFITS

1. Accrued vacation benefits, if any, must be exhausted prior to the initiation of a full or partial retirement furlough program. Vacation benefits not exhausted will be lost.
2. Vacation benefits do not accrue during the period of a full retirement furlough.
3. Staff members electing a retirement furlough in partial installments supplemented with work assignments accrue vacation benefits, if eligible, during the work assignment portion of the appointment only. The vacation benefits must be exhausted prior to the beginning of the next retirement furlough installment or be forfeited.

J. DEATH DURING RETIREMENT FURLOUGH

Retirement furlough benefits cease upon the date of death of the staff member.

K. INCAPACITY DURING RETIREMENT FURLOUGH

If a staff member is incapacitated during a retirement furlough, the furlough will continue. If a staff member is incapacitated after a retirement furlough is approved and scheduled, but before it has begun, the retirement furlough will be honored unless there is mutual agreement between the individual and the affected operating units to alter the plan.

III. Procedures

A. Professorial Staff Member submits a written request indicating specific plans and effective date of complete retirement to appropriate chair and dean not less than twelve months preceding the anticipated retirement furlough effective date.

B. Contact the office of Staff Benefits concerning retirement procedure.

22.
EMERITUS PROFESSORS
(STANDARD PRACTICE GUIDE [201.80](#))

I. Policy

Any regular instructional staff member with the rank of professor, associate professor or assistant professor, or any regular primary archivists, curators, librarians, and research staff members at the full, associate, or assistant ranks may, upon retirement, be granted an emeritus or emerita title by the Board of Regents. Such titles for instructional staff and for primary archivists, curators, and librarians are granted on recommendation by the appropriate chair, dean/director, and the Provost and Executive Vice President for Academic Affairs. Such titles for primary research staff are granted on the recommendation of the appropriate chair, dean/director and the Vice President for Research.

II. Definition

Emeritae faculty shall be regarded as members of the University faculty who have retired and as such are entitled to attend without vote meetings of the University Senate, to march in a position of honor in academic processions, to receive the University Record, to avail themselves of the library and other facilities offered to University faculty members, to represent the University on appointment at academic ceremonies of other institutions, and in general to take part with the faculties in all social and ceremonial functions of the University.

III. Regulations

A. The faculty member must have officially retired from the University and have served the University in a regular rank.

B. Any faculty member who leaves the University prior to official retirement is considered to have resigned and is not eligible for an emeritus or emerita title.

23.
**UNIVERSITY OF MICHIGAN FACULTY GRIEVANCE
PROCEDURES**

**MODEL FACULTY GRIEVANCE PROCEDURE
FOR SCHOOLS, COLLEGES, AND ACADEMIC UNITS**
(adopted December 2010)

Preamble. The University establishes the following peer-based procedure to ensure the prompt, effective, and fair resolution of faculty members' grievances.

Introduction

The faculty grievance procedures provided by the University and the School must be fair to all concerned parties—faculty members, administrators, and the University—and it must be workable. The procedures must be reasonably uncomplicated, include faculty review, and allow timely redress where appropriate. The procedures detailed in this document attempt to meet these criteria. The Grievant is encouraged, however, first to discuss informally and privately any grievance relating broadly to employment with those who made the decision that gave rise to the complaint and/or the Dean of the School to effect a resolution. If the matter is not resolved, the Grievant has access to a formal grievance system in which there is substantial faculty participation.

* * * * *

The following are MODEL procedures for faculty/administration dispute resolution, including grievance procedures, approved by SACUA, Academic Program Group (Deans), and the Executive Officers.

Subsequently, each academic unit on the University's Ann Arbor campus formally approved these procedures.

Informal Procedure

Role of Faculty Ombuds - A member or members of the tenured faculty will be elected by the academic unit faculty to serve a three-year term as Faculty Ombuds. The academic unit Faculty Ombuds exists to assist in the resolution of disputes. On request, the Ombuds will provide information about grievance procedures. The Dean may, in addition, direct the department or the college Executive Committee to reconsider a dispute if the Dean thinks a mistake in evaluative judgment may have occurred. No action by the Ombuds or the Dean, however, will deny a grievant continuing access to the prescribed appeal procedures.

Formal Procedures

General Principles

Full and truthful participation. These procedures are designed to provide a fair internal mechanism for resolving disputes of faculty members. The success of these procedures depends upon willingness of all members of the University community to participate when asked and to participate truthfully.

Uniform treatment throughout the University. All units are encouraged to adopt the procedures outlined in this document, amended as necessary to conform with unique features of a unit.

Confidentiality. As an internal review related to individual employment-related problems, all aspects of the review under these procedures are intended to be confidential. All parties and participants will hold these matters in confidence, to the extent permitted by law.

Respondents. When the grievance involves a decision made by a group of persons (e.g., a department or committee), there will still normally be only one respondent. The respondent will be the person who has the current ultimate authority to make decisions in that matter in the group (e.g., the current chair or the Dean; the person whose signature authorizes a decision). Individuals may be named respondents only for issues in which they are alleged to have had direct involvement or responsibility.

Coverage

Sec. 1.01. This grievance procedure provides for redress when a decision or action concerning a faculty member's conditions of employment at the Ann Arbor campus violates University policy or is otherwise manifestly unfair.

Sec. 1.02. The procedure applies only to those instructional faculty who are tenured, tenure-track, or clinical faculty; research faculty, including those in the research scientists track and those in the research professors track; librarians; curators; and archivists. The procedure does not apply to supplemental faculty such as adjunct faculty or visiting faculty. Faculty members otherwise entitled to use this procedure may file a timely grievance to contest the action that removed their title or brought their appointment to an end.

Sec. 1.03. The procedure applies only to decisions made by academic units (schools, colleges, centers, institutes, and programs) acting through Deans, Directors, department chairs, and other authorized persons. The Provost has discretion to allow use of this procedure for resolving grievances about decisions made by administrative units regarding faculty covered by Section 1.02. The procedure does not apply to issues between faculty members or groups of faculty members.¹

Sec. 1.04. The procedure applies only to a decision or action concerning a specific individual or specific individuals, including those adversely affected by application of a policy or standard

¹ The SACUA Faculty Hearing Committee was created by the Senate Assembly in 1987 to address issues between or among faculty members.

operating procedure, written or unwritten. Challenges to general unit or University policy are to be handled through normal governance or administrative processes.

Sec. 1.05. The procedure does not apply to decisions regarding employment, including tenure or promotion decisions, merit pay determinations, and decisions regarding clinical competence/patient safety, that are based solely and exclusively on judgments about professional performance. But this grievance process does apply to claims that the procedure followed in making such decisions failed to follow University policies and procedures or was otherwise manifestly unfair, or that the decisions violated standards of nondiscrimination contained in Regental Bylaw 14.06 (revised September 2007). A faculty member's salary history and similar data may be considered in determining the value placed on previous performance and whether the contested decision was based solely and exclusively on judgments about professional performance.

Sec. 1.06. The procedure does not serve as an additional step in a dispute that has been addressed in another formal hearing procedure of the University or a University unit. But a faculty member may use this grievance process to review new sanctions imposed by an academic unit acting on the basis of findings made in a different hearing procedure.

Filing Grievances; Parties and Responsibilities

Sec. 2.01. A faculty member shall file a grievance within ninety (90) calendar days of the date the grievant first knew or could reasonably have been expected to know, on the basis of documentation or otherwise if there is no documentation, of the decision or action that gave rise to the grievance. Grievances shall be filed on a Faculty Grievance Form (FGF) and submitted to the Director of Academic Human Resources (DAHR) and the SACUA Faculty Grievance Monitor (FGM). The DAHR shall transmit a copy of the FGF to the named respondent(s), with copies to the Dean or Director. In extraordinary circumstances, a Grievance Hearing Board (GHB) may extend the deadline for filing a grievance. The grievant must assert such circumstances in the FGF and provide supporting evidence.

Sec. 2.02. The parties to a grievance are the faculty member who initiates the grievance and the decision-maker(s) responsible for the contested decision or action. In larger units the respondent(s) would normally be the decision-maker(s) at the departmental level. Higher authorities such as Deans in those units are to be named as respondents only if they were actively involved in the contested decision or action. When the grievance involves a decision made, or an action taken, by a group of persons, or a decision or action reviewed through multiple organizational levels, the presumption is that the individual with the current ultimate authority to make the decision or take the action (for example, the person whose signature authorizes the decision or action) will be named as the sole respondent.

Sec. 2.03. Both the grievant and the respondent shall abide by all the procedures set forth here, shall participate in good faith, and shall respect the confidentiality of the process. Communication concerning the proceedings shall be limited to parties, advisers, mediators, and any others for whom information is strictly necessary for the legitimate effectuation of the process.

Sec. 2.04. (a) Before filing a formal grievance, a grievant shall seek to resolve the dispute by discussing it informally with the person(s) who made the disputed decision or took the disputed action, or actively participated in it, or who has the authority within the relevant unit or units to provide redress.

- (b) Before, during, and after the processing of any grievance, the parties are strongly encouraged to seek an informal resolution by personal discussions between or among themselves, by invoking the unit or University ombuds or mediation structure, or through the intervention of unit or University officials with the authority to provide redress. At any step before rendering a final decision, the Grievance Hearing Board (GHB) may remand the case to the parties with directions to seek an informal resolution. When remanding a case, the GHB shall set a timeframe for successful resolution. If it fails, the case will return to the GHB for further processing. Informal resolution, however, shall remain entirely voluntary.

Sec. 2.05. Prior to the first meeting of the GHB, the grievant, or the respondent may initiate in writing a one-time clarification of the issues to be considered. If the GHB requests the clarification, it shall be transmitted simultaneously to the grievant and the respondent, who will have 10 working days to provide a written response. If one of the parties submits a clarification, a copy shall be provided to the DAHR, the FGM, and the other party. The other party will have 10 working days to provide to the DAHR, the FGM, and the party who submitted the clarification any additional comments or information in response to the clarification. The DAHR will then forward both the clarification and the response to the GHB.

Grievance Hearing Board (GHB)

Sec. 3.01. A Grievance Hearing Board (GHB) shall be established as provided in Sec. 5.03 to handle each grievance filed by a faculty member. Closely related grievances may be consolidated before a single GHB.

Sec. 3.02. The GHB shall meet within 15 working days after it is established. The Board shall first determine in executive session whether the complaint is within the authority or jurisdiction of the grievance process under Sections 1.01 through 1.06. In addition, the Board may dismiss the grievance without a hearing if it concludes, on the basis of the FGF and all other material before the GHB, and with all questions of fact assumed in the grievant's favor, that there are no grounds for deciding the case in the grievant's favor. The GHB may also dismiss the grievance without a hearing if the grievance is filed after the expiration of the time period set forth in Section 2.01.

Sec. 3.03. Within 10 working days of its first meeting, the GHB shall advise the grievant, the respondent, the DAHR, the FGM, and the Dean or Director in writing whether it will proceed with a hearing. If the Board decides the complaint is not grievable because it is not within the coverage of Sections 1.01 through 1.06, or the grievance is to be dismissed under Section 3.02, it shall state its reasons in writing. If the Board decides to proceed, it shall specify in a written notice to the parties, the DAHR, the FGM, and the Dean or Director when and where the hearing will be held and what issues are to be addressed by the parties. The hearing shall be scheduled within 30 working days or as soon thereafter as is practicable.

Sec. 3.04. If the GHB decides the complaint is not grievable, the grievant shall have 15 working days to appeal this decision to SACUA or a faculty body designated by SACUA. The appellate body shall have 20 working days to resolve the issue. Its decision shall be final. Appeals from a GHB decision to dismiss the grievance shall be handled as provided for final Board decisions in Sections 4.01 through 4.03.

Sec. 3.05.

The GHB shall ensure fair procedures for the parties in any hearing.² Specifically, the grievant and the respondent shall have the following rights:

- (a) To be accompanied before the GHB by advisers, who may be attorneys. The advisers may advise their clients but may not participate directly in the hearing.
- (b) To appear and present their cases, and to cross-examine the witnesses and challenge the evidence presented by the other party; and
- (c) To have access to all relevant evidence, testimonial and documentary, except confidential evaluations and evidence that would infringe upon the privacy interests of third persons. Upon a party's request, the chair of the GHB shall be allowed to examine relevant confidential files of an academic unit or department and to provide the Board with a summary of their contents as they relate to the grievance, giving due consideration to protecting the confidential aspects of the material.

Sec. 3.06.

- (a) The GHB may call its own witnesses and obtain relevant documents, subject to the parties' right of access and the confidentiality restrictions of Sec. 3.05(c).
- (b) Testimony before the GHB is voluntary. If any witness declines to testify about any issue, however, the GHB may draw appropriate inferences about what the testimony would have been based on the refusal to testify. Any such inference should be carefully supported and explained by the GHB.

Sec. 3.07.

Hearings before the GHB shall be private and confidential, attended only by the principal parties and their advisers, if any; the Director of Academic Human Resources or designee; and the Faculty Grievance Monitor or designee. Unless otherwise directed by the GHB for good reason, witnesses shall attend only while testifying. The GHB chair may invite appropriate observers or others having a substantial interest in the outcome of the case, if both the grievant and the respondent agree.

Sec. 3.08.

Portions of the hearing at which testimony is taken and evidence presented shall be recorded verbatim, but the recording may be by voice recorder. Both the grievant and the respondent may also record the hearing.

² The grievance procedure must comply with the demands of due process, most critically, fair notice and an opportunity to be heard. It is not intended to be a substitute for either a civil or a criminal trial and is not subject to all the requirements applicable in those settings.

Sec. 3.09.

The GHB shall deliver only to the grievant and the respondent a written provisional decision within 20 working days after the completion of testimony and argument. The content of the provisional decision shall remain confidential and may not be shared at any time with any other persons except those entitled without special agreement to participate in the hearing or advise the parties under Sec. 3.07.

Sec. 3.10.

The grievant and the respondent shall have 10 working days after receipt of the provisional decision to submit a written response to the GHB.

Sec. 3.11.

The GHB shall consider any responses to the provisional decision and shall deliver its final decision within 10 working days after receipt of those responses. Both the provisional decision and the final decision shall include a summary of the testimony, factual findings, conclusions with reasons the grieved decision or action was or was not violative of University policy or otherwise manifestly unfair, and, if appropriate, a proposed remedy. Decisions of the GHB shall be by majority vote. The reasons for any dissent must be stated in a written minority opinion. The GHB shall present the final decision only to the grievant, the respondent, the Dean or Director, the DAHR, the FGM, and, if appropriate, the department chair.

Sec. 3.12.

Although the GHB does not have executive authority, the parties are expected to respect and accept the findings, conclusions, recommendations, and any proposed remedy of the GHB as the considered judgment of a competent and disinterested peer group. The GHB may recommend actions that do not fall within the respondent's authority, but recommendations addressed to those who are not parties should not give rise to the same expectations.

Appeals

Sec. 4.01.

The grievant or the respondent or both may submit a written appeal of a final decision by a GHB within 20 working days of the receipt of the decision. If the Dean or Director is not a respondent, the appeal shall be submitted to the Dean or Director. If the Dean or Director is a respondent, the appeal shall be submitted to the Provost. Either party may submit an appeal contingent upon the other party's appealing. If both parties submit contingent appeals, the appeals shall be treated as withdrawn.

Sec. 4.02.

An appeal shall be decided on the record made before the GHB. When necessary in the judgment of the person deciding the appeal, the proceedings may be remanded to the GHB to receive new information. A remand for new information shall be granted on the request of the grievant or the respondent only on a showing that the information could not, in the exercise of reasonable diligence, have been presented when the record was made. A remand shall set the times for further GHB proceedings, including any revised final GHB decision.

Sec. 4.03.

The findings, conclusions, recommendations, and proposed remedy, if any, of the GHB shall be presumed valid on appeal, and shall be rejected or modified only because of substantial errors of

fact or interpretation of University regulations, because of serious procedural irregularities, or because the appeal authority's considered judgment is that the GHB erred in deciding whether the initially grieved decision or action was or was not violative of University policy or otherwise manifestly unfair, or because any proposed remedy is clearly unreasonable or inappropriate.

Sec. 4.04.

The Dean, Director, or Provost shall respond in writing within 30 working days of receiving the appeal, stating the action to be taken and the reasons for it. The response shall be transmitted to the grievant, the respondent, the members of the GHB, the DAHR, and the FGM.

Structure; Organization; Miscellaneous

Sec. 5.01.

This grievance procedure applies to all University faculty defined in Section 1.02 but the Provost may approve amendments by an individual unit to adapt the procedure to its specific conditions or circumstances.

Sec. 5.02.

A Faculty Grievance Hearing Panel (FGHP) is established from whose members each Grievance Hearing Board will have two selected randomly, subject to the exceptions contained in Sec. 5.03. The FGHP will consist of tenured faculty members, elected by each school or college in accordance with written rules formulated by that unit. Membership on the FGHP will be allotted as follows: the College of Literature, Science, and the Arts and the Medical School, four members each; the Ross School of Business, the College of Engineering, the School of Public Health and the School of Music, Theatre, and Dance, two each; and all other schools and colleges, one each. FGHP members will serve single staggered terms of three years, except that initially nine members will be chosen by lot to serve one year, nine by lot to serve two years, and the rest will serve three years. FGHP members may not serve consecutive terms. Vacancies will be filled in the same manner except that if the unexpired term is one year or less, the replacement member shall serve an additional three-year term.

Sec. 5.03.

(a) Within 10 working days of receiving the notice of a pending grievance, the DAHR and the FGM shall meet or communicate and choose by lot two persons from the FGHP to serve on the GHB. Those two members shall come from different academic units and neither shall come from the academic unit(s)³ of the grievant. The DAHR and the FGM may then agree on one of the two members as a chair for the GHB or leave the choice between those two to the Board itself.

(b) The third member of the GHB shall come from the academic unit in which the grievance arises. Each academic unit shall formulate written rules for electing three to five tenured faculty as potential GHB members. Within 10 working days of receiving the

³ In these rules the term "academic unit" generally means a school, college, center, institute, or program. In schools or colleges that have more than 100 faculty members covered by this procedure and that have separate departments or equivalent subdivisions, "academic unit" shall mean, for the purpose of selecting the third "internal" GHB member only, a department or equivalent subdivision. If the size of particular departments or equivalent subdivisions makes it difficult to elect three to five potential internal GHB members, the school or college may combine closely related departments or subdivisions for this purpose.

notice of a pending grievance from the DAHR, the grievant and the respondent shall each nominate three members from this list of potential Board members. Both parties shall rank their preferences and transmit their choices to the DAHR and the FGM. Within 5 working days the DAHR and the FGM shall jointly determine the one nominee most favored by both parties. If there is a tie among the choices, the DAHR and the FGM will jointly resolve the tie by lot.

(c) At any time prior to the first meeting of the GHB established as provided in subsections (a) and (b) above, the grievant and the respondent have the option of agreeing upon any three tenured University faculty members from any academic unit, whether or not members of the FGHP, to serve as the GHB. In this instance, the remaining provisions regarding GHBs will apply.

Sec. 5.04.

A member of a GHB shall recuse herself or himself if she or he has significant personal or professional associations with either party, and any member shall be excused with the concurrence of both the DAHR and the FGM, if either the grievant or the respondent objects for sufficient cause to that person's serving. If the DAHR and the FGM disagree about excusing a GHB member, the issue shall be resolved by the Dean or Director, or, if the Dean or Director is a respondent, by the Provost. A recused or excused Board member shall be replaced by using the same procedure applicable to the selection of that member.

Sec. 5.05.

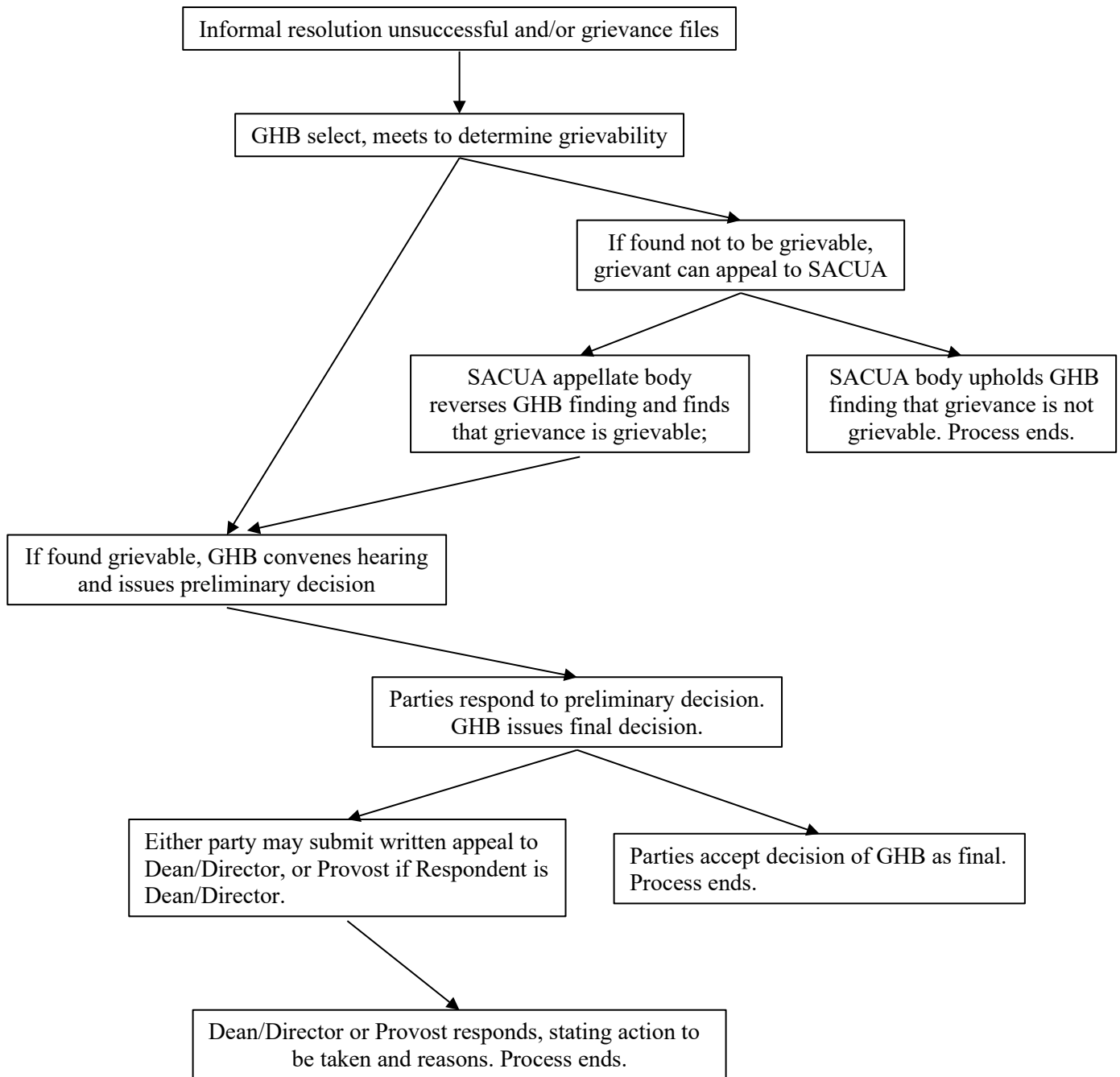
The Faculty Grievance Monitor (FGM) is a tenured faculty member who is appointed annually by SACUA to monitor all grievances. In addition to the functions assigned elsewhere, the FGM and the DAHR shall have the following responsibilities:

- (a) Jointly to provide or arrange for the training of FGHP members, and especially those designated as GHB chairs, in the conduct of a hearing and the preparation of a formal written decision;
- (b) Jointly or separately to provide objective information to either the grievant or the respondent or both about the operation of the grievance procedure;
- (c) Separately to monitor the processing of all grievances and to report to the Dean or Director, or to the Provost if the Dean or Director is a respondent, any delay or other failure to comply with specified procedures or GHB directives or decisions on appeal under Section 3.04 or Section 4.03;
- (d) Separately to maintain confidential records of all grievance proceedings, including copies of all written documents that are submitted and of any written transcript of testimony that is prepared. If there is a single voice or electronic recording of the testimony, the DAHR shall maintain custody of it after the GHB renders a final decision, but shall allow access as needed by the parties, the FGM, and the University authority to whom any appeal is addressed; and
- (e) Jointly to provide redacted reports or summaries of cases, with party names and all identifying details deleted, to University administrators and faculty members, scholars, and others with a legitimate interest in knowing about the proceedings.

Sec. 5.06.

The Dean or Director, or the Provost if the Dean or Director is a respondent, shall take prompt action to remedy any undue delay in the processing of grievances or other failure by any party to comply with specified procedures or GHB directives or decisions on appeal under Section 3.04 or Section 4.03.

Revised Faculty Grievance Procedure (2018)



Flow Chart Narrative of Revised Faculty Grievance Procedure

1. Grievant must seek to resolve the dispute by discussing informally with Respondent.⁴
2. Grievant files grievance with the Director of Academic Human Resources (“DAHR”) and the SACUA Faculty Grievance Monitor (“FGR”) within 90 calendar days of the date Grievant first knew or could reasonably have been expected to know of the decision/action that gave rise to the grievance.
3. Within 10 working days of receiving notice of pending grievance, DAHR and FGM shall select two persons from Faculty Grievance Hearing Panel. The DAHR and FGM may then select the chair from the two or leave the choice up to the Grievance Hearing Board (“GHB”).
4. Within 10 working days of receiving notice of pending grievance from DAHR, Grievant and Respondent shall each nominate three members from Unit’s list of potential GHB members, ranking their preferences.
5. Within 5 working days of receiving lists from Grievant and Respondent, the DAHR and FGM shall jointly determine most favored nominee from the two lists.
6. The GHB must meet within 15 working days after it is established to determine grievability and/or potential summary disposition.
7. Within 10 working days of its first meeting, the GHB must advise the parties, the Dean or Director, and the DAHR and FGM in writing whether the issues presented by the grievant are grievable and whether it will proceed to hearing.
8. If the GHB determines that the complaint is not grievable, the grievant has 15 working days to appeal the decisions to SACUA, which must issue a response within 20 working days. The SACUA’s decision on grievability is final.
9. If the complaint is determined to be grievable, the GHB convenes a hearing within 30 working days or “as soon thereafter as is practicable.” Both the grievant and the respondent may present evidence and witnesses, and may question all witness who participate in the hearing. Testimony at hearings is voluntary. The parties may also be accompanied by an adviser. The hearing is private and confidential, but a record will be made of testimony and presentation of evidence.
10. At the conclusion of the hearing, the GHB deliberates in private. Within 20 working days after the completion of testimony and argument, the GHB delivers to the grievant and the respondent a provisional decision that includes a written summary of the testimony, a statement of factual findings, and, if appropriate, a recommended remedy.
11. Within 10 working days of receipt of the provisional decision, the grievant and the respondent may submit a written response to the GHB.
12. Within 10 working days or receipt of the responses to the provisional decision, the GHB issues its final decision.
13. Appeals
 - a. The parties may appeal the decision of the GHB to the Dean or Director, or if the Dean or Director is a respondent, the Provost, within 20 working days of the receipt of the decision. Either party may file an appeal contingent upon the other party’s appealing.
 - b. The Dean or Director of Provost shall transit a response to the parties, the DAHR and the FGM within 30 working days or receiving the appeal, stating the actions to be taken and the reason for it.

⁴ Grievant and Respondent can seek an informal resolution with assistance of Mediation Services or as ombuds at any time during the process.

24. STUDENT GRIEVANCE PROCEDURE

A. Any student of the University of Michigan having a complaint against a member of the School faculty or a School policy should attempt to resolve the matter through informal discussion or other appeal to teaching or administrative personnel of the School. This procedure may be used in any matter relating to discrimination in violation of University or School Policy.

B. If a satisfactory resolution of the matter cannot be achieved informally, the student should follow the formal procedures outlined below:

Within ninety (90) days of the date of the alleged offense or the date of origin of the alleged condition, write directly to the dean of the School, setting forth as succinctly and clearly as possible the nature of the complaint together with specific suggestions for a satisfactory remedy of the matter.

- The dean's office will contact the appellant in writing advising him/her that the complaint has been received and that it is being referred to the appropriate associate dean.
- The associate dean's office will contact the appellant within five (5) academic calendar days after receipt of the complaint from the dean and arrange a meeting as soon as scheduling permits.
- The associate dean and appellant will meet privately and confer regarding a resolution.
- After the meeting, the associate dean will meet with the relevant individual(s) to confer regarding a resolution.
- The associate dean will write a report within five (5) academic calendar days and provide copies to the dean and the appellant.
- If the issue is not resolved to the appellant's satisfaction, the appellant may, within three (3) academic calendar days, make further appeal to the dean by calling the dean's office and asking for a meeting as soon as scheduling permits.
- After the meeting, the dean will meet with the relevant individual(s) to confer regarding a resolution.
- If the dean is unable to reach a resolution to the problem, he/she will write a report and place the matter on the Executive Committee's agenda as soon as possible.
- The Executive Committee will be provided with copies of the (1) student's complaint; (2) associate dean's report; and (3) dean's report.
- The Executive Committee may, at its discretion, appoint an ad hoc committee to investigate the matter within five (5) academic calendar days.
- The disposition of the further appeal by the Executive Committee or by the ad hoc committee will be described in writing to the appellant.

Adopted by the Executive Committee February 5, 1975
Revised January 29, 1981
Revised April 9, 1992
Revised September 14, 2000

25.
POLICY ON DISCRIMINATORY HARASSMENT
(STANDARD PRACTICE GUIDE [201.89-1](#))

I. Policy

The University of Michigan strives to create a community of and for learners. To do so requires an environment of trust and openness. Discrimination, as defined in Regents' Bylaw 14.06 and a Presidential Policy Statement issued in March 1984, is unacceptable on the University of Michigan campuses. Such behavior threatens to destroy the environment of tolerance and mutual respect that must prevail if the University is to fulfill its purpose. The University is firmly committed to these policies prohibiting discrimination. Discriminatory harassment is one form of discrimination. The University is prepared to act to prevent or correct discrimination and discriminatory harassment on the part of its faculty and staff. Although discriminatory harassment described and prohibited by this policy includes a wide range of behaviors, it does not include certain discriminatory conduct even though that conduct may be otherwise unlawful, offensive, or prohibited by University policy. For example, sexual harassment (see the University of Michigan Policy on Sexual Harassment by Faculty and Staff, SPG 201.89), unequal pay, and denial of access to educational programs based on gender are unlawful discrimination not addressed by this policy. The University has a compelling interest in assuring an environment in which productive work and learning may thrive. At the same time, the University has an equally compelling interest in protecting freedom of speech and academic freedom and in preserving the widest possible dialogue within its instructional and research settings.

II. Definition of Discriminatory Harassment

The following types of behavior are discriminatory harassment and are subject to discipline: Verbal or physical conduct by a member of the faculty or staff that is based upon race, color, creed, religion, national origin, sex, sexual orientation, ancestry, age, marital status, handicap or Vietnam-era veteran status and that:

- a) adversely affects a term or condition of an individual's education, employment, housing or participation in a University activity; or
- b) is used as the basis for a decision that adversely affects an individual's education, employment, housing or participation in a University activity; or
- c) has the purpose or effect of creating an intimidating, hostile, or offensive environment for academic pursuits, employment, housing, or participation in University activities.

III. Response and Procedures

Violations of this policy are handled under existing University harassment procedures.

26.

POLICY STATEMENT ON THE INTEGRITY OF SCHOLARSHIP AND PROCEDURES FOR INVESTIGATING ALLEGATIONS OF MISCONDUCT IN THE PURSUIT OF SCHOLARSHIP AND RESEARCH (STANDARD PRACTICE GUIDE [303.03](#))

I. Policy Statement on Integrity of Scholarship

A. Integrity in scholarship and teaching is a fundamental value upon which the University is founded. Without integrity, we could not justify the privilege of academic freedom intrinsic to scholarship and education, nor could we provide to society the advancements of knowledge that derive from free and open inquiry.

B. It is, therefore, a fundamental responsibility of the faculty, staff, students, and administration of the University of Michigan to maintain the trust of the public in all research and scholarly activity. It is the shared responsibility of all members of our academic community to assure that misconduct in academic endeavors is dealt with in a timely and effective manner, and that the reputation of the University for high standards of scholarly integrity is preserved.

C. Some lapses in integrity are more serious than others. Lesser offenses, such as carelessness or questionable research practices, should be handled through the normal administrative channels. Other situations are sufficiently grave that they require University review through an inquiry or formal investigation. The procedures outlined in this document govern the steps to be taken in handling major offenses. It is critical to distinguish serious academic misconduct from honest error and the differences of interpretation that are inherent in the scientific and creative process and are normally corrected through further research and scholarship.

D. The University community views serious academic misconduct as potential grounds for termination of employment under appropriate University procedures.

E. Misconduct in the pursuit of scholarship and research includes at least the following major offenses.

1. Fabrication of data: dishonesty in reporting results, ranging from fabrication of data, improper adjustment of results, and gross negligence in collecting or analyzing data to selective reporting or omission of conflicting data for deceptive purposes;
2. Plagiarism: taking credit for someone else's work or ideas, stealing others' results or methods, copying the writing of others without proper acknowledgment, or otherwise falsely taking credit for the work or ideas of another.
3. Abuse of confidentiality: taking or releasing the ideas or data of others which were shared with the legitimate expectation of confidentiality, e.g., stealing ideas from others' grant proposals, award applications, or manuscripts for publication when one is a reviewer for granting agencies or journals;
4. Falsification in research: deliberately misrepresenting research, including the progress of research, to a research sponsor;
5. Dishonesty in publication: knowingly publishing material that will mislead readers, e.g.,

misrepresenting data, particularly its originality, misrepresenting research progress, or adding the names of other authors without permission;

6. Deliberate violation of regulations: flagrant and repeated failure to adhere to or to receive the approval required for work under research regulations of Federal, State, local, or University agencies, including, but not limited to, guidelines for the: protection of human subjects; protection of animal subjects; use of recombinant DNA; use of radioactive material; use of hazardous chemicals or biologicals; conduct of classified research;

7. Property violations: stealing or destroying the property of others, such as research papers, supplies, equipment, or products of research or scholarship;

8. Failure to report observed major offenses: covering up or otherwise failing to report major offenses or breaches of research ethics by others that one has observed;

9. Retaliation: taking punitive action against an individual for having reported alleged major offenses.

II. Procedures for Reporting and Investigating Allegations of Serious Academic Misconduct

Please refer to the formal procedures as outlined in the policy following I., above.

JURY AND WITNESS DUTY FOR INSTRUCTIONAL STAFF (STANDARD PRACTICE GUIDE [201.29](#))

I. Policy

Regular and probationary staff members shall be excused from work and shall not sustain loss of their regular compensation or any loss of their fringe benefits when called upon for jury duty or to testify at the order of a court or other agency of government or upon request of the university. This policy does not apply to any staff member who is a plaintiff in the matter in which he or she is testifying. A staff member who loses time from work for jury or witness service will receive his or her regular University compensation for the lost time. Staff members will immediately report to work if released from jury or witness service in order to start or continue their regular work schedule that day except that:

Staff members who perform jury duty service or testify pursuant to a subpoena within the eight (8) hour period immediately preceding their regular shift, may, at the staff member's request, have an amount of time off work with pay at regular salary plus any applicable premium, equal to the time they were required to spend in court during that preceding eight hour period. In addition, staff members who are required to report for jury duty service or testify pursuant to a subpoena following completion of a shift that ends after midnight, will be excused from work at midnight and paid for such lost time at their regular salary plus any applicable premiums.

Vacation and sick time or paid time off accruals are not affected by time spent on jury or witness service. Temporary employees will be excused from work but not eligible for pay under this policy. Should the release of a staff member create a hardship for the department, the supervisor may contact Employee Relations and Compensation for deferral instructions.

II. Procedures

A. Staff Member

1. Provide immediate supervisor with a copy of call to witness or jury service.
2. Provide a written verification from the court Clerk of the times, and dates to the immediate supervisor upon return to work.

B. Supervisor - Indicate time released from work for jury or witness service on time keeping records.

28.

POLICY ON MODIFIED DUTIES: RELIEF FROM TEACHING BASED ON EFFECTS OF PREGNANCY, CHILDBIRTH, OR RELATED MEDICAL CONDITIONS (STANDARD PRACTICE GUIDE [201.93](#))

I. Policy

The purpose of this policy is to provide eligible faculty members with a period of time in which to adjust to the demands of parenting newly born or adopted children under the age of six. The University's Paid Maternity (Childbirth) and Parental Leave policy provides faculty with a paid leave (maternity (childbirth) leave plan for disability due to childbirth or related medical conditions as well as a paid leave (parental leave) to bond with a newborn, newly adopted, or newly fostered child, or a new legal guardianship of a child. See [Standard Practice Guide 201.30-6](#), Paid Maternity (Childbirth) and Parental Leaves. Eligibility faculty may choose to take the parental leave under the Paid Parental Leaves SPG in lieu of one semester of modified duties. An eligible faculty member who declines the 6-week parental leave under the Paid Parental Leaves SPG, and meets the criteria below, is entitled, upon request, to a period of modified duties without a reduction in salary:

- Gives birth to a child, or becomes a parent of a newly born or adopted child (or children in the case of a multiple birth or adoption of more than one child simultaneously) under the age of six,
- Takes significant and sustained care-giving responsibility for the child (or children) during the period for which modified duties are requested as a single parent or, where there are two parents, that is at least as time-consuming as the care-giving responsibility of the faculty member's spouse or partner, and
- Meets the regulations described in Section II of this policy.

The relevant dean (or his or her designate), in consultation with the eligible faculty member, will determine the ways in which the faculty member's duties will be modified. At a minimum the relevant school or college will make arrangements that relieve the faculty member from direct teaching responsibilities for the period of modified duties. For faculty members with significant direct clinical responsibilities or limited teaching obligations, other modifications will be provided appropriate to their circumstances. Faculty on modified duties status will typically be expected to fulfill their other professional responsibilities during the period of modified duties, including those responsibilities for which the faculty member is uniquely qualified, such as advising doctoral candidates.

A period of modified duties does not affect a faculty member's tenure probationary period. The relevant complementary policy is Standard Practice Guide 201.92 Tenure Probationary Period: Effects on Tenure Clock of Childbearing and Dependent Care Responsibilities, which provides guidelines about excluding time from the years of countable service that constitute the tenure probationary period due to the effects of pregnancy, childbirth, or related medical conditions or due to the demands of dependent care. The schools, colleges, and campuses may adopt policies that provide periods of modified duties for other groups of faculty. The schools and colleges may define modified duties more broadly than the requirements set forth in this policy.

II. Regulations

A. This policy applies to eligible faculty upon employment.

B. An eligible faculty member may take one term of modified duties for each birth or adoption that adds a child or children to his or her family. If both parents are employed in an eligible position at the University, each of them may take a period of modified duties for each birth or adoption that adds a child or children to their family if both of them meet the other eligibility criteria.

C. A period of modified duties must begin within twelve months of the date of the relevant birth or adoption.

III. Other Relevant Policies

SPG 201.11-1, Sick Leave Plan, which describes the coverage available to women during pregnancy and childbirth;

SPG 201.92, Tenure Probationary Period: Effects on Tenure Clock of Childbearing and Dependent Care Responsibilities, which describes possibilities for having one year excluded from the countable years of service which constitute the tenure probationary period; and

SPG 201.30-1, Leaves of Absence without Salary, which describes the eligibility and duration of childcare, medical, and personal leaves.

Procedures: <http://www.umich.edu/~hrra/procedures/spg201-93.htm>

29.
POLICY ON NEPOTISM
APPOINTMENT OF RELATIVES OR OTHERS WITH CLOSE
PERSONAL OR EXTERNAL BUSINESS RELATIONSHIPS;
PROCEDURES TO ASSURE EQUAL OPPORTUNITY AND TO AVOID
THE POSSIBILITY OF FAVORITISM
(STANDARD PRACTICE GUIDE [201.23](#))

I. Policy

The basic criteria for appointment and promotion of all University staff shall be appropriate qualifications and performance. Relationship to another individual employed by the University shall constitute neither an advantage nor a deterrent to appointment by the University, provided the individual meets and fulfills the appropriate University appointment standards.

There shall be neither favoritism toward nor discrimination against any individual in appointment, promotion, wages, hours, or other conditions of employment based upon that individual's being a relative of or having a close personal relationship or external business relationship to another person employed by the University. (After this called relative for purposes of this SPG.)

All supervisors are responsible for maintaining objectivity in their work relationships, and avoiding situations which raise the question of favoritism or discrimination prohibited by this SPG.

II. Regulations

If an individual is to be assigned to a position that is under the supervision or control of a relative who has or may have a direct effect on the individual's progress or performance, special provisions for review by the head of the organizational unit (e.g. dean or director) must be established in writing and approved before the individual is appointed. Relatives shall not work for the same immediate supervisor, without prior written approval. For instructional, primary, or graduate assistant staff, the approval of the administrative head of the organizational unit (e.g. dean or director) and that of the personnel administrator for Schools, Colleges, Institutes, and Libraries are necessary. For all other staff members, the approval of the administrative head of the organizational unit (e.g. dean or director) and that of the manager of employment of the appropriate Personnel Service Center are necessary.

Review and approval are also required when an individual already assigned to a position becomes a relative of a supervisor, subordinate, or someone who works for the same immediate supervisor.

All of the University's application forms for regular or temporary appointments will include a section requiring the applicant to list all relatives employed by the University and the departments in which they are employed. The same information is to be obtained from candidates for instructional and primary positions when they are offered positions.

III. Definitions

A. Relative: For the purpose of this policy, relative is defined as a staff member's spouse, daughter, son, parent, grandparent, brother, sister, grandchild, aunt, or uncle (or the spouse of any of these) of either the staff member or the staff member's spouse, or any other related person who is part of the staff member's household.

This definition is not to be construed to exclude the possibility of questions of favoritism arising with regard to other relatives, or other close personal or external business relationships.

B. Favoritism: For the purpose of this policy, favoritism is defined as the basing of decisions regarding appointment, promotion, wages, hours, or other conditions of employment on relationship rather than on objective standards and the needs of the unit.

C. Nepotism: For the purpose of this policy, nepotism is defined as favoritism toward relatives.

30. COMPUTER POLICIES

Equipment Purchase, Use, and Support

- A. All sales of School computing equipment to faculty and staff are at the discretion of the director of Information Technology (IT). Computers assigned to retiring faculty may be purchased under the same guidelines.
- B. All computer hardware and software purchases for UM computing equipment must be approved by the director of IT.
- C. Equipment purchased through faculty grants is the property of the School and must be returned to IT following termination of employment.
- D. Equipment assigned to faculty or staff is to be returned to the School upon retirement. If circumstances for faculty warrant keeping equipment, they will need to be approved by the director of IT. However, no technical support or upgrades will be provided. (NOTE: Any computer equipment given as gifts are taxable items and will be reported to the IRS by the School.)
- E. Funding for an ITD email account will be provided to retired or emeritus faculty beyond the retirement date. However, no technical support beyond initial setup will be provided.
- F. Personally owned software may be installed or run on UM computing equipment if approved by the director of IT.
- G. Personally owned computing equipment or software cannot be supported either on UM property or at a personal residence.
- H. Normally, all active faculty and staff are provided one computer only. This applies to either a desktop or a portable model. An exception to this policy includes computers attained through grants.
- I. Technical support provided for UM owned computers at a personal residence is limited to phone support. The faculty or staff member is expected to transport the UM owned computer to IT if additional support or service is needed.
- J. Laptop computers may be obtained for extended leaves of absence with the approval of the Director of IT.
- K. With the exception of laptop computers, equipment assigned to the School, or to the home, must remain in their assigned places.

(For additional information regarding University computers, networks and other IT issues, see SPG 601.11.)

31.

FACULTY RESEARCH FUND

This committee was created by the dean to oversee research grants provided by the School. These grants are given for a wide range of research projects, including recording sessions, CD and video productions, theatre and dance performances, and assistance in publishing books and research papers. It is expected that faculty members will seek other resources within the University or from external agencies to support their projects. This committee administers funds for these grants, and members are appointed by the dean on a yearly basis. The dean will annually evaluate the function of this committee and may continue or discontinue its existence at his/her discretion.

32.

RECRUITMENT GUIDELINES

I. Recruitment Guidelines for Regular Instructional Staff

In the past the University has recognized the recruitment guidelines set forth by the Association of American Universities, the Committee on Institutional Cooperation, and the American Association of University Professors.

In order to communicate the University's procedures for recruiting regular instructional staff the following guideline based on the guidelines established by the aforementioned associations has been approved by the Academic Affairs Advisory Council. Mobility of instructional staff among colleges and universities is desirable in higher education. The departure of an instructional staff member, however, also requires changes within the organization and may involve major adjustments on the part of colleagues, administrators, and students. Therefore, standards of practice in the recruitment of staff members should contribute to an orderly interchange that will be in the interests of all.

Recruitment activity for regular instructional staff is in order at any time of the year; however, firm offers of appointments for the Fall Term should not be made after April 30, or the fourth month preceding the beginning of any other academic term. The offer should be a "firm" offer and not subject to contingencies.

An exception may be considered provided the administrative head (usually the dean or designated representative) or the offering unit (college, school, institute) has determined that the date in which the appointment is to take effect is agreeable to the administrative head of the college, school, or institute which the individual will be leaving.

II. School Procedures and Guidelines

A. The dean will meet with the entire membership of the department in which a vacancy is occurring to discuss long-range needs, potential staffing problems, future faculty turnover, student quality, and other matters.

B. The department will conduct meetings, as necessary, to recommend specific qualifications and responsibilities for the vacant position. Recommendations as to an appropriate rank will also be welcomed.

C. The dean will notify the entire faculty of the vacancy and the time at which the matter will be discussed by the Executive Committee. Comment on all openings is welcome from the entire faculty. In cases involving termination, general notification of a vacancy may not occur in order to protect the individual faculty member involved.

D. The Executive Committee will discuss a recommendation for replacement with the dean prior to meeting with the department chair. When meeting with the department chair, the Executive Committee will review, in detail, the qualifications and requirements of the position. At this time, a search committee will be appointed. In addition to appointing faculty members with particular expertise in the area where a vacancy exists, all search committees will also include a member who

represents a broader, more institutional perspective.

E. Search committees will be charged with actively recruiting the most qualified candidates in addition to the normal procedures for advertising the position in appropriate journals and professional periodicals. All search committees must be able to demonstrate that both female and minority candidates have been actively recruited and considered before interviews will be authorized.

F. The entire membership of a department in which a vacancy occurs will participate in the reviewing of the short list of candidates and in the interviews of those candidates invited to the campus. Interviewing procedures will include opportunities for candidates to demonstrate teaching effectiveness. Written evaluations of these final candidates by departmental faculty who are not members of the search committee should be directed to the chair of the search committee for inclusion in the final report to the Executive Committee.

G. The chair of the search committee will report to the dean in order to determine the number of candidates invited to the campus for interviews. An unranked list of no fewer than three final candidates will be forwarded to the dean and the Executive Committee. A listing of the strengths and weaknesses of each candidate will be included.

H. The Executive Committee will determine the order in which candidates will be approached for negotiations with the dean.

33.

SENATE ADVISORY COMMITTEE ON UNIVERSITY AFFAIRS (SACUA)

4.3.1

University Senate The University Senate consists of all members of the professorial staff, the executive officers of the University, the deans of the schools and colleges, and those members of the research and library staff designated in accordance with standards and procedures approved by the Senate Assembly. (Bylaw 4.01) The Senate is authorized to consider any subject pertaining to the interests of the University and to make recommendations to the Executive Officers and to the Board of Regents. Decisions of the Senate with respect to matters within its jurisdiction constitute the binding action of the University faculties. Generally, jurisdiction over academic policies resides in the faculties of the various schools and colleges. However, when actions by the several faculties affect University policy as a whole, or schools and colleges other than the one in which they originate, the University Senate has jurisdiction. The Senate meets at least once a year. For additional information, contact the SACUA office by e-mail sacua@umich.edu or phone (764-0303).

4.3.2

Senate Assembly The Senate Assembly is a central forum for representatives from all schools and colleges. It consists of members elected by the various schools and colleges on the Ann Arbor Campus, the Division of Kinesiology, and the Dearborn and Flint campuses, apportioned according to the number of Senate members in each unit. (Bylaw 4.03) The Senate Assembly serves as the legislative arm of the Senate. It considers important, central, and controversial issues of general interest to the University community. The Assembly has power to consider and advise regarding all matters within the jurisdiction of the Senate that affect the functioning of the University as an institution of higher education, that concern its obligations to the community at large, and that relate to its internal organization and involve general questions of educational policy. (Bylaw 4.04) The Assembly meets ten times a year on a monthly basis. Its meetings are open to all faculty members. For additional information, contact the Senate Assembly at senate.assembly@umich.edu.

4.3.3

Senate Advisory Committee on University Affairs (SACUA) The Senate Advisory Committee on University Affairs (SACUA) is the executive arm of the Senate and of the Assembly. SACUA meets on a weekly basis and consists of nine members elected by the Senate Assembly for staggered three-year terms. On behalf of the Assembly, SACUA advises and consults with the President, the Provost and Executive Vice President for Academic Affairs, and the Executive Officers of the University on matters of University policy. SACUA also coordinates and initiates governance activities and serves as an instrument for implementing the actions of the Senate and the Assembly. (Bylaws 4.07 and 4.08).

The chair of SACUA is also the chair of the Senate and of the Assembly. In addition to responsibility as leader of the faculty, the chair of SACUA meets regularly with the Executive Officers and serves as the faculty representative in their deliberations. Other SACUA members provide additional leadership for faculty governance activities and serve as liaisons with the various Assembly committees. Under the provisions of Bylaw 5.09, SACUA, together with the Tenure Committee, exercises certain designated responsibilities in cases of dismissal, demotion, or terminal appointment of tenured members of the faculty.

34.
SEXUAL HARASSMENT
(STANDARD PRACTICE GUIDE [201.89-1](#))

I. Policy

It is the policy of the University of Michigan to maintain an academic and work environment free of sexual harassment for students, faculty, and staff. Sexual harassment is contrary to the standards of the University community. It diminishes individual dignity and impedes equal employment and educational opportunities and equal access to freedom of academic inquiry. Sexual harassment is a barrier to fulfilling the University's scholarly, research, educational, and service missions. It will not be tolerated at the University of Michigan. Sexual harassment violates the University's long-standing policy against discrimination on the basis of sex. Sexual harassment is also illegal. It is prohibited in the employment context by Title VII of the 1964 Civil Rights Act, in the education context by Title IX of the Educational Amendments of 1972 and, in both employment and education contexts, by Michigan's Elliot-Larsen Civil Rights Act, adopted in 1976. A claim under this policy may be brought by the University or by a faculty, staff or student member of the University community based on the conduct of any University employee. Complaints based on conduct by students who are not also employees of the University are addressed in the Interim Policy on Discrimination and Discriminatory Conduct by Students in the University Environment, which is administered by the Office of Student Services. Sexual harassment can be a very serious matter having far-reaching effects on the lives and careers of individuals. Intentionally false accusations can have similar impact. Thus the charge of sexual harassment is not to be taken lightly by a charging party, an accused party, or any member of the University community. A person who knowingly and intentionally files a false complaint under this policy is subject to University discipline.

II. Definition of Sexual Harassment

For the purposes of determining whether a particular course of conduct constitutes sexual harassment under this policy, the following definition will be used: Sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute harassment when:

- (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, education, living environment, or participation in a University activity;
- (2) submission to or rejection of such conduct by an individual is used as the basis for or a factor in decisions affecting that individual's employment, education, living environment, or participation in a University activity; or
- (3) such conduct has the purpose or effect of unreasonably interfering with an individual's employment or educational performance or creating an intimidating, hostile, offensive, or abusive environment for that individual's employment, education, living environment, or participation in a University activity.

Conduct alleged to be sexual harassment will be evaluated by considering the totality of the particular circumstances, including the nature, frequency, intensity, location, context, and duration

of the questioned behavior. Although repeated incidents generally create a stronger claim of sexual harassment, a serious incident, even if isolated, can be sufficient. For example, a single suggestion that academic, other educational, or employment rewards or reprisals will follow the granting or refusal of sexual favors, will constitute sexual harassment and grounds for action under this policy. This policy addressed intentional conduct. It also addresses conduct which results in negative effects even though such negative effects were unintended. Sexually-related conduct forms the basis of a sexual harassment claim if a reasonable person, in view of all the surrounding circumstances, would consider it sufficiently severe or pervasive to interfere unreasonably with academic, other educational, or employment performance or participation in a University activity or living environment. Sexual harassment most often occurs when one person has actual or apparent power or authority over another; however, it may also occur between individuals of equal status or rank within the University. Sexual harassment may occur between males and females and between persons of the same gender. Although sexual harassment as described and prohibited by this policy includes a wide range of behaviors, it does not include certain discriminatory conduct even though that conduct may be otherwise unlawful, offensive, or prohibited by University policy. For example, unequal pay and denial of access to educational programs based on gender are unlawful sex discrimination not addressed by this policy. Also, not all harassment based on gender or sexual orientation may be addressed by this policy, if such conduct is not sexual in nature or sexually motivated. Some conduct which negatively emphasizes gender, gender differences or sexual orientation may violate this policy, but may also be a violation of another University policy. Harassment that is both racist and sexual in nature would be addressed by this policy and possibly by other University policies as well.

III. Consensual Relationships

Romantic and sexual relationships between supervisor and employee or between faculty or other staff and student are not expressly prohibited by University policy. However, even when both parties have consented to the development of such relationships, they can raise serious concerns about the validity of the consent, conflicts of interest, and unfair treatment of others. Similar concerns can be raised by consensual relationships between senior and junior faculty members. In 1986 the University's Senate Assembly adopted a statement of principle concerning relationships between faculty (including teaching assistants) and students. The University concurs with the Assembly's position that sexual relationships, even mutually consenting ones, are a basic violation of professional ethics and responsibility when the faculty member has any professional responsibility for the student's academic performance or professional future. The University's nepotism policy precludes individuals from evaluating the work performance of others with whom they have intimate familial or close personal relationships, or from making hiring, salary or similar financial decisions concerning such persons, without prior written approval. The same principles apply to staff-student or faculty-student relationships in the context of work or academic evaluation. Thus, consensual romantic or sexual relationships between faculty or staff and students also require disclosure to the appropriate administrative supervisor so that arrangements can be made for objective evaluation and decision-making with regard to the student. Romantic or sexual relationships with students which occur outside of the instructional or supervisory context may also lead to difficulties. The Senate Assembly has concluded, and the University concurs, that the asymmetry of the faculty-student relationship means that any sexual relationship between a faculty member and a student is potentially exploitative and should be avoided. Faculty and staff engaged in such relationships should be sensitive to the constant possibility that they may unexpectedly be placed in a position of responsibility for the student's instruction or evaluation. In the event of a charge of sexual harassment, the University will in general, be unsympathetic to a defense based

upon consent when the facts establish that a professional faculty-student, staff-student, or supervisor-employee power differential existed within the relationship.

IV. Response and Procedures

A. Prevention and Education. The University is committed to preventing and eliminating sexual harassment of students, faculty, and staff. To that end, this policy will be published in pamphlet form and disseminated to the University community. The pamphlets will be included in orientation materials for new students, faculty, and staff and made available in the Affirmative Action Office and other appropriate locations on each campus. In addition, appropriate educational sessions will be conducted by the University on an ongoing basis to (1) inform students, faculty, and staff about identifying sexual harassment and the problems it causes, (2) advise members of the University community about their rights and responsibilities under this policy, and (3) train personnel in the administration of this policy.

B. Assistance with Sexual Harassment Problems. The Affirmative Action Office is responsible for ensuring and monitoring the University's compliance with federal and state nondiscrimination laws. However, a discrimination-free environment is the responsibility of every member of the community. The University can take corrective action only when it becomes aware of problems. Therefore, the University encourages persons who believe that they have experienced or witnessed sexual harassment to come forward promptly with their inquiries, reports, or complaints and to seek assistance within the University. Individuals also have the right to pursue a legal remedy for sexual harassment in addition to or instead of proceeding under this policy.

C. Confidential Counseling. Information about or assistance with sexual harassment issues may be obtained from a variety of University resources. Prior to or concurrent with making a report or complaint of sexual harassment, individuals may find it helpful to consult with a counselor. The following offices can advise and support victims of and witnesses to sexual harassment in a confidential setting. Discussions with representatives of these offices will not be considered official reports to the University and will not, without additional action by the complainant, result in intervention or corrective action.

Counseling Services (available to students on each campus)

Faculty and Staff Assistance Program (available to faculty and staff on each campus)

Lesbian-Gay Male Programs Office (in Ann Arbor but available to students, faculty, and staff from Dearborn and Flint)

Sexual Assault Prevention and Awareness Center (in Ann Arbor but available to students, faculty, and staff from Dearborn and Flint)

D. Inquiries about Sexual Harassment. Inquiries about sexual harassment and this policy may also be made to the University representatives listed below. Such inquiries will not be acted upon until an informal or formal complaint is made.

E. Informal Resolution Process. At the complainant's option, a sexual harassment report or complaint can be made centrally or locally on the Ann Arbor, Dearborn and Flint campuses. Centrally, informal reports or complaints may be received by representatives of the Affirmative Action Office, the Office of the Ombudsperson (students only), the Office of Student Affairs (students only), dean's office of the Horace H. Rackham Graduate School (graduate students only), Center for the Education of Women, Department of Public Safety, and appropriate Personnel

Office. At the local level, persons designated to receive informal reports or complaints are any dean, director, department head, and/or their designees. Each School/College or other unit shall be certain that at least one of the persons designated to receive complaints is a female. The person who receives a sexual harassment report or complaint will advise the complainant about the informal and formal resolution alternatives available under this policy. At the complainant's option, the intake person can (1) provide information about sexual harassment and this policy, (2) help the complainant deal directly with the alleged offender, (3) assist with or mediate a resolution of the problem within the unit, and/or (4) help the complainant prepare a written complaint and pursue a formal investigation. Informal resolution measures should be custom-designed to address the particular circumstances. If the complainant wishes, the intake person can, in consultation with a representative of the appropriate Personnel Office and/or the Affirmative Action Office, conduct an informal inquiry into the reported incident and assist in resolving it. The person to whom an informal complaint is brought will not inform the accused of the complainant's action or identity without the consent of the complainant.

F. Formal Investigation. Either subsequent to or instead of following an informal process, a complainant may elect to make a formal charge of sexual harassment and have it pursued. The University will investigate all formal charges of sexual harassment. Faculty and staff complainants have two internal mechanisms available to pursue a formal charge and their availability depends on the employment status of the complainant. All employees represented by a union must pursue a formal charge through the grievance procedure in the relevant collective bargaining agreement. All other employees may pursue a formal charge through the use of the appropriate faculty or staff grievance procedure set forth in the Standard Practice Guide or, in the alternative, through the procedures set forth in this Policy. A student complainant may elect to pursue a formal charge through the appropriate student grievance procedures or, in the alternative, through the procedures set forth in this policy. Formal charges under this Policy's procedures should be made in writing and filed either with a dean or director, the Affirmative Action Office, or the appropriate Personnel Office. If a formal investigation is initiated, the person accused of sexual harassment must be notified of the charge and given the opportunity to respond to any allegations before disciplinary actions are taken. The purpose of an investigation, which will include interviewing the parties and witnesses, is to gather and verify facts about the case. Formal investigations will be conducted in consultation with the Office of the General Counsel, by a three-person team consisting of a representative from the appropriate Personnel Office, the Affirmative Action Office, and the office of the dean or director. Investigation of a complaint against a dean or director will include a representative from the office of the appropriate Vice President or Vice Chancellor in place of a representative from the office of that dean or director. Faculty and student participants in an investigation may elect to have a peer representative included on the investigatory team. Student or faculty peer representatives will be drawn by lot from the student panel which hears complaints under the Interim Policy on Discrimination and Discriminatory Conduct by Students in the University Environment or from the faculty cognate panel for the faculty grievance procedure, respectively, on the Ann Arbor campus, and from an equivalent representative pool on the Dearborn and Flint campuses.

Investigations will be conducted promptly, thoroughly, and fairly, affording both the complainant and the accused a full opportunity to participate. Possible outcomes of an investigation are (1) a finding that the allegations are not warranted or could not be substantiated, (2) a negotiated settlement of the complaint, (3) a finding that the allegations are substantiated and, if so, (4) recommendations to appropriate supervisor regarding corrective action to be taken. If an

allegation of sexual harassment is substantiated, appropriate corrective action will follow. The University utilizes a disciplinary system for this and other misconduct in which the extent of the disciplinary action taken depends on all the facts and circumstances available at the time the decision is made. The severity of the punishment will depend on the frequency and severity of the offense. Corrective action could include a requirement not to repeat or continue the harassing conduct, a reprimand, denial of a merit pay increase, reassignment, and suspension. A finding of sexual harassment may be cause for the separation of the offending party from the University, in accordance with University procedures, including, for qualified faculty, the procedures set forth in Regents' Bylaw 5.09. Every effort will be made to assure University-wide uniformity of sanctions.

The complainant and the person complained against will be notified in writing of the final disposition of a formal complaint. In the event the allegations are not substantiated, all reasonable steps will be taken to restore the reputation of the accused if it was damaged by the proceeding.

G. University Action. At the request of a complainant or with the consent of one or more complainants who agree to participate as witnesses, or in other appropriate circumstances, the University may assume the role of a complainant and pursue a report or complaint of sexual harassment, either informally or formally. The University may respond to complaints or reports by persons external to the University community about conduct of University employees alleged to be sexual harassment. If an accused is a faculty member to whom Regents' Bylaw 5.09 applies, the Provost or executive authority of the relevant unit may initiate the procedures of Bylaw 5.09 at any stage in the process, if the circumstances indicate that such action is warranted.

H. Appeals Process. Complainants as well as faculty and staff members against whom corrective action is taken may use the relevant grievance procedure to appeal the appropriateness of the corrective action and the procedures followed. A student complainant who is not satisfied with the outcome of a formal investigation may appeal the outcome to the Provost and Vice President for Academic Affairs (if person complained against is a faculty member or teaching assistant) or relevant Vice President (if person complained against is a staff member).

I. Reporting Requirements. To assure University-wide compliance with this policy and with federal and state law, the Affirmative Action Office must be advised of all reported incidents of sexual harassment and their resolution. Reports in which the complainant's and/or the accused's names are not revealed should be reported generically. The Affirmative Action Office will use this information to prepare annual statistical reports for the campus community on the incidence of sexual harassment. The Office of the General Counsel will monitor repeated complaints within the same unit or against the same individual, where appropriately identified, to assure that such claims are appropriately handled.

J. General. In all cases, a person who (1) reports or complains, (2) participates in an inquiry or investigation, or (3) is accused of sexual harassment incidents may be accompanied by an individual of his or her choice who shall be permitted to attend, but not participate in, the proceedings. The University will take appropriate steps to assure that a person who in good faith reports, complains about, or participates in an informal resolution or formal investigation of a sexual harassment allegation will not be subjected to retaliation. The University also will take appropriate steps to assure that a person against whom such an allegation is made is treated fairly. The University will also undertake appropriate follow-up measures to assure compliance with settlements and the goals of this policy. Inquiries and complaints of sexual harassment shall be

treated with the maximum degree of confidentiality. Only when required by law, or when personal safety is at risk will confidential information be acted upon or disclosed to others without a complainant's consent. Sexual harassment complaints should be made promptly and resolved as quickly as possible, generally within two weeks of the date the complaint is made. Formal investigations should be concluded within thirty (30) days from the date of the complaint. The complainant and the accused should be kept apprised of the progress of the investigation as well as the ultimate outcome.

The University will make every effort to accommodate parties who are unable to participate in a formal investigation because of physical incapacity or geographical location.

K. Complaint Handling Guidelines. The University will issue and make available to persons entrusted with administering this policy and other interested parties, appropriate complaint-handling guidelines, consistent with this policy. All guidelines shall be reviewed and approved by the Office of the Provost and the Office of the General Counsel. These guidelines shall be issued within ninety (90) days of the effective date of this policy.

Revisions. *This policy and these procedures are subject to revision as determined necessary or desirable in view of experience or changes in the law.*

35.
SICK LEAVE PLAN
(STANDARD PRACTICE GUIDE [201.11-1](#))

I. Policy

The University, consistent with its needs and requirements, desires to minimize the compensation loss of its staff members during certain periods of absence from work due to personal illness, injury or preventive medical or dental care which is either unavoidable or in the best interest of the University and its staff members.

II. Regulations and Eligibility

In the event of accident or sickness rendering a member of the instructional staff incapable of performing duties, applications may be made to the President or designated representative for sick leave privileges. The duties of the staff member shall be cared for without additional funding to the staff member's school or college.

A. Eligibility and Compensation

1. Regular instructional, primary and clinical track II staff members with less than two years of service are eligible for sick leave at their regular rate of pay during incapacity not to exceed three calendar weeks annually.
2. Any regular instructional (i.e., professor, associate professor, assistant professor, instructor or lecturer) or regular primary (i.e., assistant research scientist, associate research scientist, research scientist, research investigator, senior associate research scientist, senior research scientist assistant curator, associate curator, curator, assistant librarian, associate librarian, senior associate librarian, librarian) and clinical track II staff members who has been a member of the University staff for two years or more, may apply for sick leave income during incapacity but not exceeding one-half year of leave at the individual's regular income, and, thereafter, one-half year of leave at one-half the individual's regular income.
3. Any professor, associate professor, research scientist, associate research scientist, senior associate research scientist, senior research scientist librarian, senior associate librarian, curator, or associate curator who has been a staff member for ten years or more may apply for sick leave income during incapacity but not exceeding one year of leave at the individual's regular income, and thereafter, one year of leave at one-half the individual's regular income.
4. In the event of successive periods of incapacity, a total of not more than the foregoing maxima will be allowed in any five year period.
5. Supplemental instructional staff members are eligible for sick leave income during incapacity not to exceed three calendar weeks annually.

B. Initial Period of Illness

The first three calendar weeks of incapacity on account of accident or illness shall not be included in computing the maximum allowable under (II, A, 2 and 3) above. In each instance of incapacity in excess of three calendar weeks, application shall be made stating facts and with documentation, requesting the additional sick leave. (See Procedures III)

C. Incapacity

The term "incapacity" means temporary total inability to perform University duties, with the likelihood of restoration to full capacity for services. Cases of temporary partial or permanent partial incapacity are not included but each such case shall be subject to special action by the President or designated representative providing for a part-time appointment or making such other adjustment as the circumstances may indicate.

D. Worker's Compensation

When a staff member receives a Worker's Compensation benefit, including any dependency allowance, for time lost from work, the payment for sick leave shall be the difference between regular income and Worker's Compensation insurance payments.

E. Vacation

When a staff member meets the sick leave eligibility requirements while on vacation, the individual has not lost time from regular work and is therefore not eligible for sick leave income under this plan except for certain unusual circumstances (e.g., hospitalization). Under such circumstances the staff member may request that he not be charged with vacation but that it be considered as sick leave income. Such a request is subject to approval of the chair, dean and the Office of the Executive Vice President for Academic Affairs.

F. Pregnancy

When a staff member loses time from regular work because of incapacity caused or contributed to by pregnancy, miscarriage, abortion, or childbirth, she may use the sick leave plan during the period of incapacity.

G. Exclusions

No income is payable if incapacity results from war, insurrection, rebellion, participation in a riot, or civil commotion, engaging in any criminal act or intentionally self-inflicted injury or illness or working for an employer other than the University. No income is payable during a leave of absence without salary.

H. Doubtful Eligibility

Evidence acceptable to the University may be required at any time as a condition for qualifying for sick leave income. A statement from a staff member's physician, may be required. Examination by a physician, designated by the University, and at the University's expense, may be required at any time.

I. Records

A complete, accurate report of sick leave absence is essential and should be maintained by the department or other designated office. Accurate record keeping of sick leave absence provides basis of possible income tax exemption for the staff member.

J. Transfers

A staff member transferred from a non-instructional regular staff appointment to a regular instructional appointment will be eligible for the regular instructional staff sick leave plan based on the length of service with the University as a regular staff member. Staff members transferred from an instructional appointment will adopt the sick leave plan of the new position.

K. Terminations

Eligibility for sick leave ceases on the effective date of a termination (i.e., the last day of work). A staff member who is ill on, or immediately prior to, a previously determined termination date is eligible for sick leave income through the previously determined termination date.

L. Return to Work

Insofar as possible while maintaining orderly and efficient operations of the unit concerned, the position of the incapacitated staff member will be held for his return.

M. Use of Vacation Time

At the request of the staff member, an absence covered by this plan may be charged against the individual's vacation time (if any) after available time under the plan is exhausted.

N. Time Off Without Pay

If a staff member is absent from work beyond sick leave and vacation benefit availability, the chair may provide excused time off without pay for a period of time not to exceed three calendar weeks. Longer absences must be in accordance with the Leaves of Absences Without Salary SPG 201.30-1.

O. Continuation of Benefit Plans

1. For each month the staff member receives full pay under this plan, deductions and contribution practices will be the same as when actively working.
2. For each calendar month in which the only pay received is half normal salary pay under this plan, the University's and the staff member's share of contributions to the Retirement, Group Life Insurance, and Health Insurance programs in which the staff member participated at the time of sickness or injury and at the level provided by salary at the time of sickness or injury will continue based on one-half salary. Eligibility for Health and Life Insurance will continue even when the one-half pay reflects less than a fifty percent (50%) appointment. Vacation time accrued during each calendar month when only 50% pay is received may be used to extend the number of days available at 50% pay, if the disability has continued without a return to work.

36.
POLICY TO ALLOCATE FUNDS FOR THE
PROVISION OF PROFESSIONAL SERVICES

Questions sometime arise concerning the circumstances under which the School can make a payment to a faculty member's discretionary account for professional services he/she has rendered and not have it be considered income to the faculty member. Under current IRS rulings, the major considerations are that the faculty member must have no control over the assignment of funds to his/her account, nor control over the amount.

The School has developed the policy outlined below for administration of this type of event.

1. The individual research account of a faculty member is limited to further and/or benefit the mission of the University, and is not for the personal gain of the faculty member.
2. The purpose of the account is to provide expense reimbursement for research projects and assignments. The account is subject to University guidelines that ensure appropriate use of the account.
3. The faculty member is not entitled to any account funds upon severed employment with the University.
4. The School shall determine the amount of funds available for the provision of any specific professional service in accordance with the School's goals, mission statement, and submitted operating budget.
5. Information or input shall be solicited from each faculty member on the amount of funds to allocate to his/her research account from his/her department for a specific provision of professional services in accordance with this policy.

37. VISITING SCHOLAR STATUS AT THE SCHOOL

Visiting Scholar Guidelines from Academic HR Memorandum dated May 1, 2012

BACKGROUND

Academic units of the University of Michigan may invite faculty researchers, from other Universities as Visiting Scholars. This status is reserved for scholars who are invited to pursue a program of research during a limited term of residence. Visiting Scholars may have access to certain limited services and resources. Currently employed staff, faculty and students of the University of Michigan are not eligible for this status.

Visiting Scholars must:

- Have an earned PhD (or equivalent) or other comparable terminal graduate or graduate-professional degree (i.e., JD, MD, MFA, etc.), and hold a faculty or other permanent research position at another accredited university, college, or research organization or
- Have a Master's or equivalent intermediate degree and substantial professional experience that the host unit affirms to be equivalent to that expected of a member of the University of Michigan faculty; and
- Be pursuing a program of research as their primary purpose; and
- Be invited ('sponsored') by a department, program or other University academic unit; and
- Be in residence for a term of not less than one month and not more than three calendar years.

ADMINISTRATIVE CHANGES

The process for identifying and credentialing persons as official '**Visiting Scholars**' at the University of Michigan had been administered for many years by the Rackham Graduate School. With the advent of new technology to facilitate this process, responsibility for the Visiting Scholar program is moving from Rackham to Academic Human Resources effective **May 1, 2012**. Questions about Visiting Scholar designations may be directed to staff in Academic Human Resources at (734) 763-8938.

AHR will add additional information and *interim* procedures for designating Visiting Scholars to our website in the very near future. (<http://www.hr.umich.edu/acadhr/>)

FUTURE

Initially, Visiting Scholar processes and procedures administered by Academic HR and the responsibilities of hosting academic units will remain much as they have been in the past. In the near future though, additional M-Community tools provided through ITS will allow authorized representatives of hosting academic units to 'Sponsor' Visiting Scholar designations with greater independence and convenience. (It is anticipated that these tools will be similar in presentation to the menu-based web services now provided via the 'People Pay' system.)

RELATED NOTES

Please note that faculty members from other Universities who are visiting the University of Michigan and who will be conducting and being compensated for their research activities should be appointed as Visiting Research Faculty consistent with guidelines published by the Office of the Office of the Vice President for Research at:

<http://research.umich.edu/policies/research-faculty/appointments-and-promotions/#13>

Finally, administration of arrangements related to *Visiting Research Students* will continue, as in the past, to be administered by the Rackham Graduate School.)

School Specific Information –

There are no guaranteed rights or prerogatives resulting from the visiting scholar appointment. Note that there are no special rates or priorities available for musical, theatrical, or athletic events. Advance permission from the chair of the department or program must be granted for attendance at classes, seminars, etc.

Visiting scholar status at the School is a courtesy appointment, which provides library privileges only and is for a period of *one year or less* during the regular academic year (September 1 – April 30) and may not be extended. Office space and computer equipment will not be provided.

The appointment is nonsalaried, and no funds will be expended by the School on behalf of the visiting scholar. All international applicants are responsible for

- (1) obtaining the proper visa;
- (2) making their own housing arrangements, if applicable; and
- (3) paying all costs associated therewith.

A. The applicant must request visiting scholar status by providing the following information to the faculty member of choice.

1. A written request, which lists exact dates that he/she expects to be on campus (see paragraph 4, above), and specific reasons why he/she has chosen the School to conduct research.
2. A complete curriculum vitae, which includes highest degree obtained, date, name of institution, and proof thereof.
3. Written confirmation from the applicant's educational institution of the applicant's rank and that he/she is an "active" member of the faculty who will be on a sabbatical or leave of absence during the requested appointment period.

B. If the faculty member is willing to sponsor the applicant in accordance with Information noted above, procedures listed below should be followed.

1. Meet with the chair of the department to request approval for the applicant.
2. If approval is granted by the chair, the faculty member will compile a packet for presentation to the School's Executive Committee that includes:
 - (a) a letter recommending that the applicant be appointed and agreeing to be on site during the visiting scholar's appointment;
 - (b) the applicant's letter of request;

- (c) the applicant's curriculum vitae; and
- (d) written verification from the applicant's educational institution, as specified above.

NOTE: The applicant may not be invited to campus as a Visiting scholar before the Executive Committee processes the request.

3. Present the packet of information to the Dean's Office for distribution to the Executive Committee for review and action.

C. The Dean's Office will notify the chair and faculty member IN WRITING of the Executive Committee's decision. If the request is approved, the Dean will extend a written invitation to the applicant.

38.

FACULTY-STUDENT RELATIONSHIPS

I. Policy

The teacher-student relationship lies at the foundation of the educational process. As a matter of sound judgment and professional ethics, faculty members have a responsibility to avoid any apparent or actual conflict between their professional responsibilities and personal relationships with students.

Romantic and/or sexual relationships between a faculty member and a student have the potential to pose risks to the faculty member, the student, or third parties. In such relationships, voluntary consent by the student is suspect because of the inherently unequal nature of the relationship. A romantic and/or sexual relationship between a faculty member and a student can lead to a complaint of sexual harassment when the student feels that he or she has been exploited. In addition, other faculty members, staff members, or students may express concerns about undue access or advantage, favoritism, restricted opportunities, or unfavorable treatment as a result of the relationship. These concerns are damaging whether the favoritism is real or perceived. They also arise in cases where the relationship between the faculty member and the student remains amicable, as well as in cases that lead to accusations of exploitation. For all these reasons, the University strongly discourages romantic and/or sexual relationships between faculty members and students.

In spite of these warnings, the University recognizes that sometimes such relationships occur. If a romantic and/or sexual relationship occurs or has occurred between a faculty member and a student for whom the faculty member has supervisory responsibility, an inherent conflict of interest arises. When a conflict of this nature occurs, the faculty member must disclose the relationship so that a resolution to the conflict can be sought.

This policy applies to any University or University-sanctioned teacher, mentor, or supervisor of students. This includes, but is not limited to, regular instructional faculty, clinical faculty, supplemental and research faculty, postdoctoral fellows, graduate student instructors, graduate student research assistants, preceptors, and graders. Throughout this policy, the term “faculty member” is used to refer to all regular instructional faculty and to all other individuals with supervisory responsibility for students in an educational setting.

II. Definition Supervisory Responsibility

includes, but is not limited to, teaching, research, academic advising, coaching, service on evaluation or thesis committees, grading, recommending in an institutional capacity for employment, fellowships, or awards. This supervision can occur on or off campus, in curricular, co-curricular, or extra-curricular activities.

III. Regulations

- A. **Prohibition of Supervision:** A faculty member is prohibited from having supervisory responsibility over a student with whom he or she is currently having a romantic and/or sexual relationship. A faculty member may be prohibited from having supervisory responsibility over a student with whom he or she has had a romantic and/or sexual

relationship in the past.

- B. Faculty-Student Relationships Requiring Disclosure and Conflict Resolution: *Disclosure Requirement*: If a faculty member has supervisory responsibility for a student with whom he or she is having or has had a romantic and/or sexual relationship, the faculty member must disclose the relationship to his or her academic administrator (in most cases, the department chair) or to an appropriate administrator at a higher level (e.g., an associate dean, dean, or director).

Development and Approval of a Conflict Resolution Plan (hereafter referred to as the "plan"): A written plan to resolve the conflict of interest should be developed by the faculty member, the academic administrator (in most cases, the department chair), and the head of the academic unit (e.g., dean, director, or equivalent). In most cases, the gist of the plan will be to remove the faculty member's responsibility for supervising the student and to make alternative arrangements. The plan must address the need to preserve and maintain the student's immediate and long-term educational opportunities, ability to meet program requirements, and career progression. For these reasons, the student must find the plan to be acceptable.

At any time, the student, the faculty member, the academic administrator, and/or the head of the academic unit may consult with the appropriate Human Resources office. Final approval of the plan is the responsibility of the head of the academic unit (e.g., the dean, director, or equivalent).

Determination of Plan Acceptability: Making alternative arrangements for the faculty member's supervisory responsibility may have a negative impact on other students, other faculty members, administrators, and the University. Therefore, the academic administrator and the head of the academic unit (e.g., the dean, director, or equivalent) have the authority to decide that no acceptable resolution to the conflict can be found.

When a Conflict Resolution Plan Is Not Agreed Upon: If it is not possible for all the relevant parties to agree on a plan to resolve the conflict of interest, the romantic and/or sexual relationship must be discontinued until the faculty member no longer has supervisory responsibility for the student (also see Section IV. Sanctions).

Record Keeping: A written record of the approved conflict resolution plan must be placed in the faculty member's personnel file in his or her home administrative unit (also see Section III.F. Confidentiality).

- C. Role of the Academic Administrator: An academic administrator who learns that a faculty member has supervisory responsibility for a student with whom the faculty member is having or has had a romantic and/or sexual relationship is obligated to attempt to develop a plan to resolve the conflict of interest. If an academic administrator learns of a potential conflict of interest from another source (e.g., student or third party), he or she must determine whether a conflict of interest exists and, if so, is obligated to attempt to develop a plan to resolve the conflict of interest.
- D. Impact on Third Parties: Any student, faculty member, or staff member who believes he or she has received inappropriately favorable or unfavorable treatment as the result of a

romantic and/or sexual relationship between a faculty member and a student may file a complaint with a relevant academic administrator (in most cases, a department chair) or to the appropriate Human Resources office.

- E. Existing Student Policies: This policy does not preempt existing codes of student conduct.
- F. Confidentiality: University administrators need to respond appropriately to all conflicts of interest that arise under this policy. Within this context, every reasonable effort will be made to preserve confidentiality and protect the privacy of all parties in the course of investigating a potential conflict of interest or, where a conflict of interest exists, in attempting to develop an alternative plan for supervision of the student. (See Regents' Bylaw 14.07 *Privacy and Access to Information and Standard Practice Guide 201.46 Personnel Records – Collection, Retention and Release.*)

IV. Sanctions

Violations of this policy will be considered misconduct on the part of a faculty member and will be subject to institutional sanctions up to and including termination of appointment. Student supervisors or graduate student teachers (e.g., Graduate Student Instructors and Graduate Student Research Assistants) who violate this policy may also be subject to academic sanctions up to and including expulsion as a result of allegations having been filed separately under other appropriate University policy.

Violations of this policy include:

1. A faculty member has supervisory responsibility for a student with whom he or she is having or has had a romantic and/or sexual relationship but fails to disclose the relationship promptly (see *Section III.B. Disclosure Requirement*).
2. The faculty member discloses the relationship but fails to cooperate in the development of a satisfactory plan to resolve the conflict of interest (see *Section III.B. Development and Approval of a Conflict Resolution Plan*) or fails to adhere to an agreed-upon plan.
3. The faculty member discloses the relationship but after the chair, dean, and/or director determine(s) that no satisfactory plan is possible to resolve the conflict of interest, the faculty member continues the relationship (see *Section III.B. When a Conflict Resolution Plan Is Not Agreed Upon*).

Nothing in this policy shall be deemed as supplanting or otherwise affecting the University's sexual harassment policy, Standard Practice Guide 201.89-0, or the policy on the appointment of relatives, Standard Practice Guide 201.23.

39.

POLICY FOR STUDENT REQUESTS FOR ABSENCE FROM CLASS FOR TOURS, TRIPS, AND OTHER EVENTS

A **Student Travel/Absence Form** (see [Appendix L](#)) shall be forwarded to the Associate Dean for Undergraduate Academic Affairs, preferably 60 days prior to the trip/event. Following review and approval by the Associate Dean for Undergraduate Academic Affairs, the requestor will be notified of the decision. Upon approval and/or revisions, the requestor will compose a memorandum for the Associate Dean's signature.

- A. A sample memorandum for the Associate Dean's signature is provided below.
- B. Once the Associate Dean signs the memo, the requestor will distribute the document to the participating students, who in turn will provide each of their instructors with a copy of the memo.
- C. Students are responsible for obtaining permission for the absence and for ensuring that all course work is completed in a timely manner.

A **sample** memorandum is noted below.

MEMORANDUM

TO: University Faculty
FROM: Kate Fitzpatrick, Associate Dean for Undergraduate Academic Affairs
DATE: XX
SUBJECT: School of Music, Theatre & Dance Performance at [Insert Event]

The School of Music, Theatre, and Dance (SMTD) has approved the travel schedule for an appearance of SMTD students at the following event: [Insert Event and Date]. The participating students will depart campus at [Time] on [Departure Date], and return by [Time] on [Arrival Date]. Your flexibility in excusing this absence is very much appreciated.

40.

FACILITIES SCHEDULING POLICY AND GUIDELINES

The physical plant resources of the School of Music, Theatre & Dance comprise a primary asset in delivering the educational mission of the School. The School makes every effort to facilitate the needs of its students, faculty, and staff in the allocation of space for the purposes of fostering the creative, scholarly, and professional activities related to the teaching, research, and service needs of the School.

Allocation of specific classroom space is determined relative to the compatibility of the space with the activity needing to be scheduled. Issues of enrollment capacity, class activity, sound transfer, and electronic technology needs will be considered in making decisions regarding the allocation of classroom space. Given the competing priorities of the necessary activities inherent in music study, and the restrictions of space and capacity of the physical resources of the School, issues of scheduling suitability will be resolved between the appropriate administrative offices in conjunction with the parties affected.

The following guidelines represent the efforts of the administration to align the curricular and administrative delivery of services with the spaces available in the Moore, Stearns, and Burton Memorial Tower buildings. Scheduling of hall and classroom space will be done in agreement with the mission of the School based on the availability of appropriate space and will endeavor at all times to take into account the effective delivery of the scholarly, professional, and administrative needs of the students, faculty, and staff in the School.

Guidelines for Scheduling Classroom and Performance Space in the Earl V. Moore, Stearns, and Burton Memorial Tower Buildings

On-going, regularly scheduled activities related to the various curricula of the School of Music, Theatre & Dance will be scheduled on a term-by-term basis and will form the foundation of use for building spaces. These activities include undergraduate core curriculum classes, required graduate course work, elective courses at the graduate and undergraduate level, performance laboratory classes, special topics classes, seminars and/or independent study courses, student performances and rehearsals necessary for the completion of degree requirements, including performance preliminary examinations, oral preliminary examinations, and dissertation recitals and ancillary student performances in preparation for required performance work. Additional rehearsals such as ensemble coaching (beyond course requirements) recording sessions, and other performance needs will be scheduled appropriately within the parameters stated above.

Faculty use related to creative, scholarly, and professional activity, especially as such activity enhances the effectiveness of teaching and contributes to the delivery of the various curricula of the School, will be scheduled in accordance with the policies of the School. Such activities include, but are not limited to, the scheduling of faculty recitals, lectures, performance classes, chamber music coaching sessions (beyond the requirements of the curricula) and rehearsals, guest artist classes, and other uses as deemed appropriate and reasonable based on the availability of suitable space.

From time to time, it will be necessary to modify the regular schedule of classes, rehearsals, concerts and/or additional activity to accommodate the administrative needs of the on-going work of the School. Adjustments to the regularly scheduled activities of the School are to be considered when the requested need for space aligns with the stated mission of the School. One such example will be in the scheduling of space for the purposes of auditioning new students. In the case of necessary changes to the daily building schedule, the Dean or Dean's designate will notify all parties involved to seek reasonable solutions through collaborative deliberation to accommodate both the special interest and regularly scheduled needs of the School.

An inherent component of the mission of the School is to provide support for community based initiatives as they relate to education and performance. As such there will be times when members of the broader Ann Arbor community submit requests for the use of University spaces in the School of Music, Theatre & Dance buildings. Request for use of School space by other than enrolled students, faculty, and/or staff will be referred to the appropriate administrative officer for review.

Implementation Guidelines
*(for use by the administrative and staff offices involved in creating and maintaining the
School's hall and classroom schedule)*

I. Regularly scheduled School of Music, Theatre & Dance Course Work

A. Academic Terms

1. Undergraduate core curriculum classes
2. Graduate required course work
3. Doctoral required course work
4. Elective courses
5. Seminars
6. Special Topics courses
7. Independent study courses (apart from individual instruction)
8. School's Commencement Ceremonies (December)
9. Final examinations, including performance (Jury) exams

B. Spring Half Term/Summer Half Term

1. Courses offered for credit and/or degree completion
2. School sponsored workshops, festival events, guest classes, and concert series events.
3. Faculty use for performances, recordings, and rehearsals

II. Performances

A. Students

1. Degree recitals & dress rehearsals Undergraduate, Graduate and Doctoral performances required for completion of degree requirements including Performance Preliminary examinations, Oral Preliminary examinations and Dissertation Recitals
2. Non-degree recitals and dress rehearsals
3. Student administered performance organizations with University affiliated sponsorship (Michigan Pops Orchestra, UMGASS, Musket, etc.)
4. Recordings, rehearsals, coaching sessions (offered beyond the regular schedule of classes) accommodated based on availability of appropriate space

B. Faculty

1. Regularly scheduled events
 - (a) Michigan Chamber Players
 - (b) Stearns Lecture Series
 - (c) Thurnau Professor lecture/class/performance
 - (d) Annual meetings (April, September, December) of the School's faculty
2. Faculty recital requests
 - (a) Studio recitals
 - (b) Faculty performing; solo, ensemble, lecture,
3. Guest artists - Performances, lectures, master classes
4. Other faculty requests, such as recordings, coachings, rehearsals, seminars, testing, competitions, etc., accommodated based on availability of appropriate space.

C. Staff

III. Administrative/Extra Curricular

A. Regularly scheduled meetings required for the promotion of the work of the School including but not limited to standing committees (Executive Committee, Curricula committees, Scholarship Committee, Departmental committees), academic officers of the School (Office of the Dean, Office of the Associate Dean for Academic Affairs, Office of the Associate Dean for Faculty Affairs and Director of Minority Affairs, Office of the Associate Dean for Graduate Studies, and Office of the Associate Dean for Research and Planning), the Office of Admissions and Student Services, student groups (MENC, ASTA, SAI, MuPhiAlpha, Student Government) and additional requests as can be accommodated within the priorities of the School.

B. Auditions

C. Summer Orientation sessions

IV. Outside Use Requests

Outside use requests constitute those inquiries having no University affiliation and no faculty sponsorship within the School.

Addenda and Explanation of Policies and Procedures

I. Class Scheduling

A. The Associate Dean for Academic Affairs, in consultation with the Chief Administrative Officer will oversee the administration of the class schedule and use of School facilities for the purposes of delivering School of Music, Theatre & Dance curricula.

B. Most regularly scheduled classes on the North Campus are offered to begin and end on the half hour. If additional time is needed for the preparation of a room (rehearsal spaces, for example) the scheduling of the classes themselves will be accomplished to reflect the above policy wherever possible. Classes on the Central Campus are scheduled to begin and end on the hour. This offset schedule allows students maximum efficiency and flexibility in meeting scheduling needs and traveling between the two campuses. School scheduling policies will be congruent with the needs of the students in order to maximize the opportunities for class enrollment while simultaneously making maximum use of the available facilities.

C. No undergraduate core curriculum course work will be scheduled in conflict with another core curriculum class, without also offering alternative meeting times as appropriate. It is the responsibility of the appropriate administrative officer of the School to ensure that the scheduling of required course work is in agreement with the needs of students in meeting the requirements of the various curricula of the School.

D. While every effort will be made to adhere to the University policy on the scheduling of activities on University Study Days, the School retains the right to grant allowances to the University policy when the event (e.g. Doctoral examinations, such as oral and performance preliminaries and dissertation defenses and recitals) has the unanimous consent of all involved parties.

E. Bearing in mind the unique needs and attributes of the activities involved in delivering music course work, the School community will work to maintain clear organization and implementation of courses taking into consideration issues of class size, sound transfer, and suitability of space being allocated.

II. Performance Scheduling

A. Student recital requests will be accepted beginning November 1 for the Winter Term and August 1 for the Fall Term.

B. Recital performance times in the E.V. Moore building Britton Recital Hall and the McIntosh Theatre and the Stearns Building, Cady room will be 12:30 p.m., 3:00 p.m., 5:30 p.m., and 8:00 p.m. Performance reservations will be made beginning 30 minutes before the scheduled start time for recital performances. Percussionists may be allocated additional time (up to 60 minutes prior to the start of a dress rehearsal and/or recital) for the purposes of equipment set up. Special needs requests (lighting, sound, electronic media enhancement) will be referred to the appropriate administrative office for handling.

C. Student recital dress rehearsals will be allocated two hours of rehearsal time. Additional time for equipment set up will follow the guidelines in IIB, above.

41.

POLICY ON FACULTY CONFLICTS OF INTEREST AND CONFLICTS OF COMMITMENT

(October 2006)

The School of Music, Theatre & Dance (“the School”) endorses the participation of our faculty in a wide range of scholarly interests and encourages involvement in sponsored research, performance and other creative work, consultation, and other activities benefiting the individual, their department, the University as a whole and the wider community. At the same time, it is important for the faculty to understand their primary professional responsibilities and obligations to the University of Michigan, and for the latter to provide clear policies and procedures in support of faculty initiatives and by which the faculty can frame outside activities that support the mission of the University.

A. *Identification of Potential Conflicts of Interest and Commitment*

The existence of a potential conflict of commitment must be evaluated in light of the minimum time and effort requirements applicable to the faculty member in question.

The term **faculty** shall include members of the Regular and Supplemental Instructional Staff, together with the executive officers, research associates, curators, and persons with similar duties as outlined in the *School of Music, Theatre & Dance Faculty Handbook* (“Faculty Handbook”). Regular and Supplemental Instructional Staff includes professors, associate professors, assistant professors, and nontenure-track instructional staff.

All faculty, including visiting faculty, with at least half-time University appointments, owe their primary professional commitment to the University. A commensurate commitment of those faculty members’ time and intellectual energy must therefore be devoted to activities furthering the University’s mission.

Potential conflicts of interest and commitment are inevitable where faculty are engaged with agents and institutions outside the University. These potential conflicts are not necessarily problematic; the University allows and encourages faculty to engage in outside activities and relationships that enhance the University’s mission. It is nevertheless important for faculty to disclose potential conflicts of interest or commitment as soon as they arise so that they can be evaluated and, if necessary, managed or eliminated.

A potential **conflict of interest** arises when external ties might appear to bias a faculty member’s judgment in performing his or her University obligations. A potential **conflict of commitment** arises when a faculty member engages in external activities or assumes external commitments that might appear to compromise his or her ability to fulfill the responsibilities of his or her University position.⁵

To meet minimum time and effort commitments within the School, faculty members are expected to fulfill the obligations outlined in the Faculty Handbook and other documents and

⁵ [Standard Practice Guide \(SPG\) 201.65-1](#)

agreements between the faculty and the School, especially with respect to teaching loads, specific instructional duties, and residency requirements.⁶ Additionally, faculty members are expected to fulfill administrative obligations, including participation on assigned departmental committees and in hiring and tenure processes, regularly attend faculty meetings, and participate in student and faculty educational and collegial functions. All nontenure-track instructional staff similarly owe the University time and effort commitments commensurate with their appointments.

Even where obligations to the University are met, faculty members should thoughtfully consider whether outside activities in which they are or may be involved are in competition with the University or would otherwise diminish or undermine the University's mission. Faculty should seek prior approval if opportunities for research, education, or financial support, which otherwise might flow to the University, are likely to be diverted to other entities or institutions.

B. *Examples of Potential Conflicts of Interest and Commitment*

Potential conflicts of interest/conflicts of commitment may occur in a number of categories outlined in the examples below. This list is not exhaustive. The School's general approach to managing these examples is also included:

1. Time

- Faculty members are expected to spend a majority of their time on their primary professional commitments to the University. However, a faculty member may accept honoraria and speaker fees for appropriate outside commitments. If a substantial time commitment is required, a potential conflict of commitment may arise. Outside consulting obligations, individually or in sum total, may not conflict with primary commitments to the University and must be disclosed to the School.⁷
- Outside employment by faculty is not allowed except with approval of proper University authorities, which will be granted only when either or both of the following conditions exist: (1) when the work in question gives promise of enhancing the individual's usefulness as a teacher and scholar in the individual's field to a greater degree than a corresponding amount of work within the walls of the University, (2) when the work is of a distinctly public nature or when for any other reason the University wishes to be actively engaged in its furtherance.⁸
- Faculty members may not hold two active full-time salaried positions.⁹
- Faculty members may not devote effort to preparing course materials for use exclusively at another university or exclusively for use in distance education outside of the University.¹⁰

⁶ [School of Music Policies and Procedures, A Handbook for Faculty \(Faculty Handbook\), VII \(Policy Concerning Teaching Loads and Part-time Employment\)](#)

⁷ [Faculty Handbook, XI.D.1. \(Outside Employment and Absence Policies\)](#)

⁸ [Regents Bylaws, Sec. 5.12](#)

⁹ [U-M Faculty Handbook, Chapter 5.G.1](#)

¹⁰ "Educational or instructional activity that is delivered electronically to students at a distance. It includes, but is not limited to, synchronous or asynchronous learning environments with a variety of instructional models, e.g., audio or video computer conferencing, computer-mediated instruction, or Internet-based instruction." (Council for Higher Education Accreditation, Institute

- Consistent with conflict of interest and commitment principles, faculty with full-time appointments at the University should not use (or permit others to use) their work in ways that compete with the University's courses or its educational programs or activities unless prior written permission is obtained from the appropriate dean, unit director, or executive officer, or their designee(s). This provision applies to works developed for compensation at other educational institutions, including for-profit and on-line institutions. It does not apply to works created in conjunction with professional activities in conformance with University norms such as but not limited to: sharing syllabi or other course materials with colleagues at other non-profit educational institutions; ordinary outside consulting, participation in professional or scholarly organizations, scholarly presentations and publications, pursuit of future employment opportunities and public service.¹¹

2. Relationships

- The University nepotism policy must be followed in the hiring of family members or those with whom a faculty member has a close personal relationship. This includes hiring for part-time, temporary positions as well as regular non-instructional and instructional staff positions. Close personal relationships must be disclosed to the Chair/Director, and written policies for managing any relationships involving supervision or evaluation must be developed by the unit.¹²
- A faculty member should exercise caution when assigning or asking students or staff to contribute services or money to institutions or people external to the University.
- Disclosure to the Chair or Director of any relationships covered by the University Faculty-Student Relationship policy is required.¹³

3. Resources

- University resources are generally to be used for university business. These resources include University equipment including copying and fax machines, office and computer supplies, and electronic mail. University policy allows for limited use of electronic mail resources for personal business. Personal use of property that is purchased to support the mission of the University is governed by SPG 520.1, III.B.¹⁴
- A faculty member may incur reasonable meal and travel expenses that are reimbursed either by the University or by external organizations. However, a faculty member may not accept reimbursement that amounts to a gift of substantial value from people or institutions that contract with the University where the faculty member participates in decisions concerning that contract.

for Research and Study of Accreditation and Quality Assurance: Specialized Accreditation and Assuring Quality in Distance Learning, http://www.chea.org/pdf/mono_2_spec-accred_02.pdf?pubID=246, accessed 4/18/06 10:45 AM.)

¹¹ [SPG 601.3-2](#)

¹² [SPG 201.23](#)

¹³ [SPG 601.22](#)

¹⁴ <http://spg.umich.edu/pdf/520.1.pdf>

- At the University of Michigan students often have the opportunity to take courses from leading authors in a discipline. A faculty member may assign their own textbook to their students according to the guidelines of the American Association of University Professors policy statement: “The right of individual professors to select their own instructional materials, a right protected under principles of academic freedom, should be limited only by such considerations as quality, cost, availability, and the need for coordination with other instructors or courses. Professors should assign readings that best meet the instructional goals of their courses, and they may well conclude that what they themselves have written on a subject best realizes that purpose. In some cases, indeed, students enroll in courses because of what they know about the professor from his or her writings, and because they hope to engage in discussion with the professor about those writings in the classroom. Because professors are encouraged to publish the results of their research, they should certainly be free to require their own students to read what they have written. At the same time, however, students in a classroom can be a captive audience if they must purchase an assigned text that is not available either on library reserve or on a restricted Web site. Because professors sometimes realize profits from sales to their students (although, more often than not, the profits are trivial or nonexistent), professors may seem to be inappropriately enriching themselves at the expense of their students.”¹⁵ Any perceived abuses along these lines should be brought to the attention of the faculty member’s Chair.
- Ownership rights pertaining to works created at faculty initiative shall be construed in accordance with the SPG.¹⁶
- A faculty member may not direct business to his/her spouse’s company at the expense of the University, or use University resources to promote outside business interests.

4. Gifts

- A faculty member may not accept a gift of substantial value (including gifts of service) from a University student or staff member, unless there is a family relationship or the equivalent. The same rule applies to gifts from people or institutions that contract with the University where the faculty member participates in decisions concerning that contract.
- Faculty members may not provide gifts to the University with the expectation that they will then be given the authority to control the dispersal of these funds.

5. Political Endorsement or Outside Affiliation

- There are circumstances in which a faculty member’s experience is relevant to expression of a public opinion. In these cases (except where not appropriate, illegal, or when it misrepresents the individual’s authority) a faculty member may indicate their affiliation with the university in written correspondence to public entities as long as the correspondence includes a statement indicating that they are not speaking on behalf of the University but only as an individual.

¹⁵ <http://www.aaup.org/statements>

¹⁶ [SPG 601.3-2](#)

- A faculty member may not use University resources (including electronic mail accounts) to support or oppose a political candidate or the qualification, defeat or passage of a ballot initiative. This is a violation of state law for which there are individual fines and penalties.¹⁷

C. *Disclosure, Evaluation, and Management of Potential Conflicts of Interest and Commitment*

1. Disclosure of Potential Conflicts

In general, each faculty member must promptly disclose potential conflicts of interest or commitment to their Department Chair or Director in writing as they arise. E-mail will suffice. Issues that indicate a conflict of interest concern to the Chair or Director must be brought to the attention of the Dean or the appropriate Associate Dean. Recurring or long-term commitments incurred by faculty must be included in the annual report of each faculty member to their Chair or Director. The Chair or Director reports at the end of each year on all CoI/CoC issues and the department/program procedure for managing them to the Dean or the appropriate Associate Dean.

Disclosure need not be made where there is no violation of the general approaches outlined above but disclosure should be made whenever there is any question as to whether the incident falls within the generally permitted *de minimus* situations described above.

2. Management of Potential Conflicts

Upon disclosure of a potential conflict of interest or commitment, the Chair or Director (in consultation as needed with the Dean or the appropriate Associate Dean—who serve as “Unit CoI/CoC Managers”) shall evaluate the extent of the potential conflict. The purpose of this evaluation is to determine whether it is necessary to manage or eliminate the potential conflict. The Chair or Director may require the faculty member to provide additional information or documentation if necessary.

In some circumstances, evaluation of the potential conflict will require consultation with central administration offices. For example, consultation is necessary in the following circumstances:

- Where the disclosure involves sponsored research or technology transfer, with the Office of the Vice President for Research;
- Where there may be a conflict between two academic units, with the Provost’s Office;
- Where legal obligations or potential liability may be involved, with the General Counsel’s Office; and
- Where the disclosure involves a purchase of goods or services, with Purchasing.

If the Chair or Director (in consultation with the Dean or Associate Dean as needed) determines that management of the potential conflict is necessary, he or she shall develop a conflict management plan in consultation with the faculty member. Management options include, but are not limited to:

¹⁷ [Michigan Campaign Finance Act, MCL 169.257](#)

- A determination that no action is necessary;
- Documenting the disclosure and Chair or Director's evaluation and determination that no further management is required;
- Disclosing the potential conflict to appropriate sources inside and outside the University;
- Modifying or limiting the faculty member's duties to minimize or eliminate the conflict;
- Securing the faculty member's agreement to modify or suspend outside activity, use of University resources, or other activities that create the potential conflict; and
- Prohibiting certain outside activity as inconsistent with the faculty member's obligations to the University.

3. Record-Keeping and Issues of Confidentiality and Privacy

The Associate Deans will keep records of action on disclosures made to the Dean's Office under this policy, in part to develop a consistent practice of treating like cases in similar fashion. Chairs and Directors will also keep records of disclosures and related actions at the department/program level. The record may be as simple as identifying the disclosure and, when no further action was required, including a notation to that effect on the disclosure description. Appropriate records may also be maintained in the individual faculty member's personnel file.

Chairs, Directors and Associate Deans will make all reasonable efforts to preserve the privacy and confidentiality of personal information revealed as part of this process; to that end, all records that include personal information about named individuals will be kept in a secure file accessible only to the Chair, Director, Associate Dean and the Dean of the School, respectively.

Where any other faculty or staff member has a legitimate educational or business reason to access the documentation, then either the appropriate authority listed above or the Dean may authorize access to the file and provide either copies and/or information, as may be required for the stated educational or business purpose. If copies of information in the files are provided to a faculty or staff member, he or she must also be asked to maintain the same level of confidentiality as applicable to the original information or documents.

In some circumstances, the University is required to disclose potential conflicts to people within or outside the University. For example, if a conflict exists within the context of a federally sponsored project, the University *is required* both to disclose the existence of that conflict (without providing identifying information) to the federal government and to indicate whether it has managed that conflict. Also, the University may be legally required to disclose information in response to requests made under the Michigan Freedom of Information Act (FOIA). Should any other individual have a legitimate reason to access the confidential records, whether in the context of a federally sponsored project, a FOIA request, or otherwise, the appropriate Chair, Director, Associate Dean or the Dean may authorize access to the file, provide copies, or provide oral or written summaries. Where possible, the individual to whom disclosure has been authorized will be required to maintain at least the same level of confidentiality as applicable to the original information or documents.

Any faculty or staff member who becomes aware that the Chair, Director, divisional Associate Dean or Dean has provided or may have provided unwarranted access to conflict

documentation or information, as defined in this policy, should inform the relevant superior for appropriate action.

D. *Dispute Resolution*

A faculty member may dispute any decision made in response to the disclosure or non-disclosure of a potential conflict of interest or commitment by an appeal to the appropriate Associate Dean. Further pursuit of a dispute would fall under the Faculty Grievance Procedure outlined in the Faculty Handbook.¹⁸ Following exhaustion of these procedures, the faculty member may dispute any action or decision under this policy in accordance with applicable University procedures. Sponsored research/tech transfer must be handled in accordance with processes adopted by OVPR Conflict of Interest Review Committee.¹⁹

E. *Education and Training*

This policy will be provided to new faculty at the time they are hired and when they begin work at the University. The policy will be circulated each fall to all returning faculty members, including visiting and adjunct faculty. Discussion and instruction on management of the policy will be included in new Chair & Director training each fall. The School will develop a website that includes the School of Music, Theatre & Dance Policy, links to relevant University policies, examples of potential CoI/CoC issues, Frequently Asked Questions, and other appropriate links. Training will also be provided to departmental administrators on a yearly basis.

F. *Violations*

Any failure to comply with SPG 201.65-1, its procedures, or this implementing policy may lead to disciplinary action, up to and including termination of appointment in accordance with applicable disciplinary procedures. Possible violations that may lead to disciplinary action include, but are not limited to, the following: failure to disclose fully a potential conflict; failure to comply fully with a required conflict management plan; failure to maintain the confidentiality of conflict documentation and information; and failure to complete any required training or education regarding the policy. Existing School and University procedures governing faculty misconduct shall apply.

G. *Policy Review and Revision*

The Associate Deans will annually review all conflicts under management within this policy and make recommendations to the Dean regarding any needed revisions to the policy or any need for increased education. Any revisions in policy or practices will be discussed with the faculty. If the Dean, in consultation with the School's Executive Committee, determines that any of the changes he or she would like to adopt will materially change the policy, the Dean will follow established University procedures to adopt the original policy. In particular, the Dean will submit any materially revised policy to the Office of the Provost and Executive Vice President for Academic Affairs for further review and approval and then to the President for formal adoption. A current version of School's policy should be on file with the Provost's Office at all times.

¹⁸ [Faculty Handbook, 23 \(Grievance Procedures for School of Music Faculty\)](#)

¹⁹ See <http://www.research.umich.edu/policies/um>

This policy applies to all faculty in the School, including both full- and part-time faculty, whether classified as regular or non-tenure-track instructional faculty.

H. *Governing Policies*

This policy implements SPG 201.65-1, *Conflicts of Interest and Conflicts of Commitment*, incorporates SPG 201.65-1 in its entirety, and includes all elements required under that SPG. Implementation of SPG 201.65-1 within the School requires compliance with other University policies and procedures, including all Regents' Bylaws and SPGs, as well as with any relevant external rules of professional conduct and applicable law. Relevant policies, procedures, rules, and law include (but are not limited to) the following:

- Regents' Bylaw 2.16, regarding gifts to University employees;²⁰
- Regents' Bylaw 5.12, regarding outside employment of University faculty;²¹
- Regents' Bylaw 5.13, regarding governmental elected or appointed service;²²
- Regents' Bylaw 5.14, regarding leaves of absence;²³
- SPG 201.23, regarding appointment of individuals with close personal or external business relationships;²⁴
- SPG 201.65, regarding employment outside the University;²⁵
- SPG 201.85, regarding special stipends for work performed for other University units, the payment of honoraria, and the payment of travel expenses;²⁶
- SPG 500.01, 601.03-2, and 601.11, in particular to the extent that they address copyright and other appropriate use of University resources, such as the libraries, office space, computers, secretarial and administrative support staff, and supplies;^{27, 28, 29}
- *Conflict of Interest Policy for the Office of Vice President for Research (OVPR), Division of Research Development and Administration (DRDA), and Office of Technology Transfer (OTT)*;³⁰
- *The School of Music, Theatre & Dance Faculty Handbook*;³¹
- American Association of University Professors *Statement on Professional Ethics* (as well as other discipline-specific professional ethics codes and statements);³²
- *Policy Statement on the Use of Faculty Research and Discretionary Accounts*,³³ August 2005, Office of the Provost; and
- Michigan Compiled Laws § 15.321 et seq., regarding contracts of public employees with their employers.³⁴

²⁰ <http://www.umich.edu/~regents/bylaws/bylaws02.html#16>

²¹ <http://www.umich.edu/~regents/bylaws/bylaws05b.html#3>

²² <http://www.umich.edu/~regents/bylaws/bylaws05b.html#4>

²³ <http://www.umich.edu/~regents/bylaws/bylaws05b.html#5>

²⁴ <http://spg.umich.edu/pdf/201.23.pdf>

²⁵ <http://spg.umich.edu/pdf/201.65-0.pdf>

²⁶ <http://spg.umich.edu/pdf/201.85.pdf>

²⁷ <http://spg.umich.edu/pdf/500.01.pdf>

²⁸ <http://spg.umich.edu/pdf/601.03-2.pdf>

²⁹ <http://spg.umich.edu/pdf/601.11.pdf>

³⁰ http://www.research.umich.edu/policies/um/conflict_ovpr_drda_tmo.html

³¹ http://www.music.umich.edu/faculty_staff/auth/fac_handbook/index.html

³² <http://www.aaup.org/AAUP/pubsres/policydocs/statementonprofessionalethics.htm>

³³ http://www.provost.umich.edu/reports/discretionary/policy_statement.html

³⁴ [http://legislature.mi.gov/\(ifir5vqt1iq3vv55awoaxo55\)/documents/mcl/pdf/mcl-15-321.pdf](http://legislature.mi.gov/(ifir5vqt1iq3vv55awoaxo55)/documents/mcl/pdf/mcl-15-321.pdf)

In the event of any inconsistency between this policy and other University or external requirements, those other requirements will prevail. In interpreting this policy the Dean and the Associate Deans as Unit CoI/CoC Managers should be attentive to preserve the principle of academic freedom of speech and thought. In addition, policy administrators will make every reasonable effort to preserve confidentiality and protect the privacy of all parties in the course of investigating and managing a potential conflict of interest or commitment.

42.

ENSEMBLE SCHEDULING PROTOCOLS

Policy for Rehearsal Release Time for Students Involved in SMTD Recording Projects

Students involved in SMTD recording projects shall be granted one hour of rehearsal release time for every hour outside of normal scheduled rehearsals utilized in the recording project. A detailed schedule shall be submitted to the Executive Committee during the previous semester (not less than two months in advance) for prior approval. No recording shall proceed without this approval.

Policy for Rehearsals in Preparation for Performances

Students involved in the SMTD performances other than opera, musical theatre, theatre & drama, athletic bands, or dance productions, shall be granted one full class of release time for every dress rehearsal scheduled outside of the regular class schedule. As a general rule, no ensemble should schedule more than one rehearsal within a 24-hour period without the prior approval of the Associate Dean for Academic Affairs. The rehearsal schedule distributed at the beginning of each semester will reflect the released rehearsal time for every dress rehearsal that is scheduled outside of the regular rehearsal time. Students are to contact the teachers in case of schedule conflicts with the dress rehearsal and/or concert before the conflict occurs.

(March 31, 2011)

43. SHORT-TERM GUEST ARTIST APPROVAL

Short Term Guest Artist Approval Process

Background

The general purpose of the Exchange Visitor Program is to promote international educational and cultural exchange to develop mutual understanding between the people of the U.S. and other countries. At U-M, there are three types of J-1 exchange visitors; students, scholars, and professors.

Short Term Guest Artists visiting SMTD for a period of less than 6 months would qualify for a J-1 Visa as;

- J-1 short term scholars can be professors, research scholars, specialists, or persons with similar education or accomplishments coming to the U.S. on a short-term visit for the purpose of lecturing, observing, consulting, training, or demonstrating special skills.
- J-1 specialists are individuals who are expert in a field of specialized knowledge or skill who come to the U.S. for observing, consulting or demonstrating those special skills.

Approval Process

Lead Time: 6 months

To obtain approval for a Short Term Guest Artist visiting the SMTD, the sponsoring faculty member must provide the following:

- A written request, signed by the sponsoring faculty and the department Chair. This request should include the reason for the visit as well as provide detail on all activities the guest will be doing during the visit.
- Dates of the campus visit
- Amount of University funds that will be provided to the guest. This includes any monies given as honorarium, travel, hotel, etc.
- Source of UM funds given to guests
- Guest Artist CV

The above items must be emailed to Associate Dean Jason Corey's office for review and approval. Short Term Guest Artists do not need Executive Committee Approval.

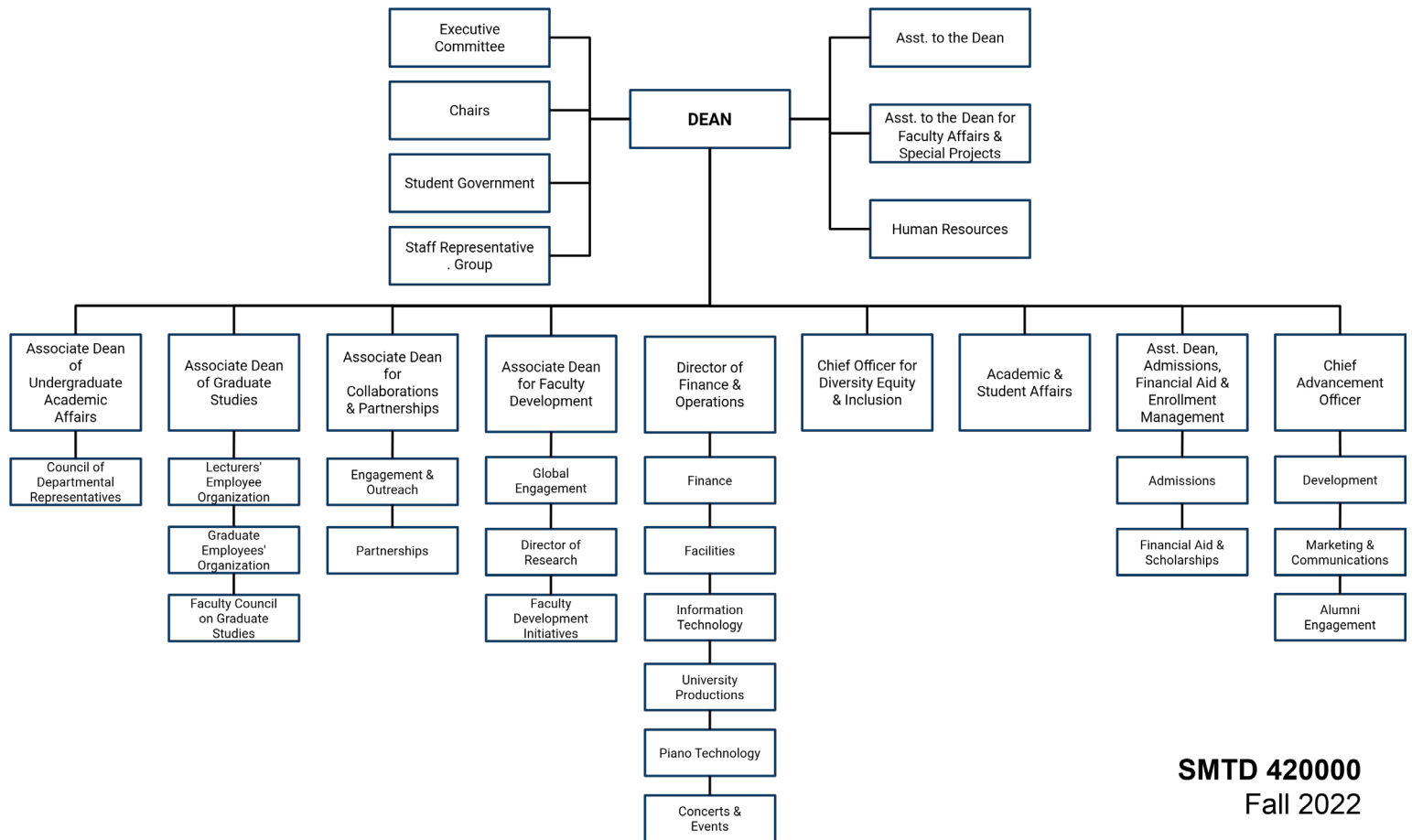
Once approved, a letter of invitation from Associate Dean Corey will be given to HR to start the J-1 process. HR will work with the sponsoring faculty member to obtain additional documents as required.

*All visitors on a J-1 visa will have a mandatory immigration check in at the University of Michigan's International Center within 5 days of arrival.

APPENDICES

APPENDIX A

SMTD ORGANIZATION CHART



SMTD 420000
Fall 2022

APPENDIX B

OFFICE OF EVALUATIONS AND EXAMINATIONS

For information on the Office of Evaluations and Examinations or designing a Teaching Evaluation Questionnaire, please contact the Office of the Registrar:

<https://ro.umich.edu/faculty-staff>

APPENDIX C

USE OF SCHOOL'S COPY MACHINES

1. Only members of the clerical and support staff and department chairs are authorized to use the copy machines of the School. *All other use must be approved by the dean.*
2. Only instructional materials specified in item 6 and materials necessary for administrative purposes may be reproduced on the School's copying machines.
3. Personal materials may be copied using the card or coin operated copy machine in the Music Library.
4. No copyrighted materials may be reproduced without written permission from the copyright holder except as permitted under the fair use provisions of the copyright law.
5. Music may be copied only by the manager of the ensembles.
6. The following materials will be copied by the staff in the Information Office for instructional purposes. Other materials will not be accepted.
 - a. One course outline or reading list, not to exceed six pages, for each course, each term, for each student.
 - b. Examinations, including preliminary examinations and placement examinations.
 - c. Two copies per course of required articles or similar excerpts for use on reserve in the Music Library.
 - d. Transparencies for use on an overhead projector for instructional purposes in class.
7. Faculty members and GSAs must submit requests for copying of materials for instructional purposes to the Information Office at least 24 hours in advance.
Materials consisting of more than 50 pages must be submitted at least 48 hours in advance. It is important for faculty to plan copying needs well in advance. Although the staff may seek to fulfill requests more quickly when possible, they are under no obligation to accept or copy materials not conforming to these scheduling guidelines.
8. All instructional materials not specified in item 6, including music, must be purchased by the student. No materials other than course outlines and examinations can be reproduced by the School for distribution to students. Other necessary nonpublished materials should be reproduced and made available commercially through one of the local firms engaged in such business.
9. All requests for more than 50 copies of any material will be sent to University Printing Service or to a commercial printer. Such material must be submitted at least three days in advance.
10. Proposals for funding from sources outside the School may be reproduced for faculty members.
11. Program notes and song texts for ensemble concerts and faculty recitals may be reproduced if submitted at least three days in advance.

APPENDIX D

REQUEST FOR FACULTY ACADEMIC TRAVEL FUNDS

This process is now on-line through the SMTD web site. Please use the link below (cut and paste) to request travel funds.

<https://smt.d.umich.edu/auth/faculty-forms/travel-funding-request.php>

APPENDIX E

FACULTY ACTIVITIES REPORT

For the Calendar Year January 1 Through December 31

UNIVERSITY OF MICHIGAN
School of Music, Theatre & Dance
Ann Arbor, Michigan 48109-2085

FACULTY ACTIVITIES REPORT

For the Calendar Year January 1 through December 31, 2022

Faculty Member's Name:

Faculty Member's Current Rank:

Faculty Member's Track (clinical, tenure-track, tenured):

Faculty Member's Department:

Time Spent Teaching (Indicate all that apply):

Full Academic Year

Partial Academic Year (note how many months):

Instructions

Each member of the faculty, *including Department Chairs*, of the School of Music, Theatre & Dance are asked to submit this report each year. ***Faculty who are being considered for Promotion & Tenure will be exempt from completing a FAR in the year of review.*** The information provided will be used by the Executive Committee in its annual merit evaluation of faculty and will serve as the basis for determining your salary increase for next year. ***Faculty who do not submit a FAR (except in the cases of P&T and medical leaves), will not be considered for a merit increase.*** Please be certain that the information is as complete as possible.

Include activities projected for that portion of the calendar year following submission of the report. Attach additional sheets as needed. In section B include activities in progress and describe specifically the progress that was made during the current year. Note that no faculty member is expected to engage in all of the activities listed under any category. Include also any relevant information not specifically requested.

In reviewing and summarizing the contributions of each faculty member the various activities are normally weighted by the Executive Committee as follows: teaching 50%, professional activities 40%, and service 10%. The weightings may be adjusted within the following limits when it is advantageous to the faculty member: teaching 40% to 60%, professional activities 30% to 50%, service 0% to 20%. Any faculty member may submit a written request to the dean that his or her teaching be weighted still more heavily. Weightings may be adjusted still further with the approval of the department chair and dean, especially in years where expectations in one area are especially

high, and such adjustments encouraged for clinical-track faculty whose duties may carry the expectation of particular kinds of effort. The quantity and quality of the students recruited to the School by the faculty member, when identifiable, will be given special consideration under the category of teaching. The Executive Committee would especially welcome any documentation of teaching success deemed relevant by colleagues completing this form.

Because the contributions of our faculty are so extensive and so varied, it is sometimes difficult to know how to classify certain activities. For example, off-campus activities falling under item B.5 are often useful in recruiting students and could be listed under item A.6. The choice of where to list an activity should be made on the basis of what you consider to be its major purpose or effect. There is no "right" answer. The difference between items A.6 and C.5 with respect to recruiting is that the former refers to activities to recruit to your own studio or program while the latter refers to activities to assist the School as a whole. In item C.2 you need not list activities that can be inferred from your position or title, though particularly important activities may be pointed out. No activity should be listed more than once, except in the case of activities that promote diversity, equity, or inclusion.

In all cases, faculty are encouraged to elaborate in narrative form on the activities listed in this report, whether to provide significant detail, context, or other pertinent information. Adopting a narrative-only approach is also allowed.

In order to foster a rich sense of diversity, inclusive of a full and honest exchange of ideas that are beneficial to both teaching, research, and service; please indicate activities undertaken during the last calendar year related to diversity, equity, or inclusion (DEI) within SMTD or the discipline. Reflect on all your past teaching, service, and creative/professional/research activities from the perspective that many of your regular practices and pursuits may have promoted inclusion and equity. In particular, describe how you have pursued diversity, equity, or inclusion in innovative ways or in areas of focus different from what you have previously been engaged.

The following are general examples of activities related to DEI:

- Teaching activity directed at facilitating the free exchange of ideas and opinions in the classroom
- Fostering an awareness of the critical role of diversity in the pursuit of learning and education
- Participating in or arranging specific trainings, discussions, and workshops
- Engaging in professional and research activities pertaining to or supporting DEI
- Performing or teaching new or non-traditional repertoire or curriculum
- Serving on boards and participating in events focused on issues of DEI
- Collaborating with faculty or students to broaden the scope of projects to new audience or focus.

Genuine effort should be made to document DEI activities through the year for reporting purposes.

Please e-mail your report to Tina Sedgeman (tsedge@umich.edu) no later than Wednesday, January 4, 2023.

Signature.....

Date Submitted.....

Revised 8/22

A. Teaching

1. List the courses taught by course number or name of ensemble (except applied music courses); indicate the credit hours of each course and the number of students enrolled.
2. List the number of hours of private studio instruction per week, by term, and the number of studio classes per term.
3. List student recitals and performances supervised; give the names of the students.
4. List doctoral examinations participated in by name of the student; specify the type of exam.
5. List theses and dissertations supervised by name of enrolled student (indicate if you are/were the chair).
6. List activities undertaken to recruit talented students at both the undergraduate and graduate level.
7. List positions held by recent former students and awards and honors achieved by former students not previously reported, insofar as you have knowledge of them.
8. List instances of providing your professional abilities and expertise on behalf of community education in the performing arts including your participation in MPulse, Michigan Youth, summer workshops, and PPLP.
9. Describe any teaching activities undertaken during the last year that have contributed to the pursuit of diversity, equity, and inclusion within SMTD, such as any activity directed at facilitating the free exchange of ideas and opinions in the classroom, at making all students feel welcome and valuable to classroom climate, or at fostering an awareness of the critical role of diversity in the pursuit of learning and education. If applicable, list any workshops in any of these areas that you may have attended. You may include the teaching activities provided in your answers to the above questions.

B. Creative and Professional Activities and Research

1. List the one or two professional achievements or activities during the year that you consider most significant (these need not be cited again elsewhere).
2. List publications (indicate by * items that were subject to substantial peer review prior to publication).
3. List prizes, awards, fellowships, grants, commissions, or other recognition received.
4. List research projects; list grants from University or non-University sources for research or development or for instructional or program improvement.
5. List appearances or activities off-campus or on-campus as a speaker, conductor, soloist, ensemble member, adjudicator, actor, director, designer, panelist, clinician, consultant, director of a workshop or institute, or chair of a session at a professional meeting; list performances of your compositions or arrangements; list recordings you have made or recordings of your works; list other forms of recognition unique to your field of specialization.
6. Describe any creative and professional activities, undertaken during the last year that you regard as contributing to the pursuit of diversity of any kind in your field of expertise (performative, ideological, methodological, etc.). These may include collaborative and interdisciplinary projects, performances and publications that position themselves to create common ground among different perspectives. You may include the creative/professional/research activities provided in your answers to the above questions.

C. Service

1. Indicate the number of students advised.
2. List by name any School of Music, Theatre & Dance faculty members for whom you are serving as official mentor, and describe the extent of the assistance you have provided.
3. Indicate service as department chair or division head; list other administrative duties or leadership initiatives on behalf of the School including participation in examinations for students outside your department.
4. List service on committees of the School, your department, or the University (indicate if chair) and participation in meetings and other official activities of the School and its departments beyond routine department and School faculty meetings.
5. List service in elective or appointive leadership roles in professional associations at the national, international, regional, state, or local levels.
6. List non-routine contributions to recruiting, fund-raising, or public relations efforts on behalf of the School or the University not listed elsewhere.
7. List instances of your contributing your expertise without compensation or with nominal compensation in service of government agencies, citizens' groups, educational or religious institutions, or charitable organizations at the local, state, national or international levels.
8. List service activities performed specifically for or within the state of Michigan.
9. Describe any activities undertaken during the last year aimed at fostering diversity, equity, or inclusion within SMTD or other group/organization at any level of society, including activities that have led to exchanges with persons or groups from various walks of life, beliefs, values, and social conditions. You may include the service activities provided in your answers to the above questions.

APPENDIX F LEO FACULTY ACTIVITIES REPORT

THE UNIVERSITY OF MICHIGAN

School of Music, Theatre & Dance

Ann Arbor, Michigan 48109-2085

LEO FACULTY ACTIVITIES REPORT

Pursuant to Contract; Article XIX (Performance Evaluation)

For the Academic Year (8/29/22 – 4/30/23)

Report of the activities of: _____

Name of Department/Division/Unit: _____

Instructions

Each LEO faculty member of the School of Music, Theatre & Dance is contractually obligated to submit this report each year. ***Faculty that are going through a major review will be exempt from completing a FAR in the year of review.*** The information provided will be used by the Chair of the Department to determine if there is evidence of high quality instruction that fosters students' intellectual development and appropriate contribution to the overall teaching mission of the department in specific and the School of Music, Theatre & Dance in general.

The School of Music, Theatre & Dance specific criteria may address, but are not limited to the following general criteria:

- Command of the subject matter
- Ability to organize material and convey it effectively to students
- Successful design and/or planning of courses and course materials
- Ability to communicate and achieve appropriate student learning goals
- Effective interaction with students
- Growth in the subject field and in teaching methods
- Performance of non-instruction duties where applicable

In reviewing and summarizing the contributions of each faculty member, the various activities are normally weighted by each Department Chair as follows: Lecturer I/II are 100% teaching; Lecturer III/IV are 80-90% teaching and 10-20% administrative duties.

The FARs will be used during interim evaluations and during major evaluations. Please feel free to include other activities that benefit your teaching and overall performance to the School. Other areas to consider are Creative and Professional Activities and Research; Service to the School or University of Michigan; recent publications or performances. Please note these other activities **are not** required.

Lecturers III/IV are required to discuss their administrative activities as part of their annual FAR.

Failure to submit your annual report in a timely manner will result in forfeiture of the next scheduled annual increase. Contract Article XIX.B.1

This report is due to the Chair of your Department not later than March 30, 2023.

Signature.....

Date Submitted.....

Updated 9/22

A. Teaching (please discuss all that are applicable)

1. List the courses taught by course number or name of ensemble (except applied music courses); indicate the credit hours of each course and the number of students enrolled.
2. List the number of hours of private studio instruction per week, by term, and the number of studio classes per term.
3. List student recitals and performances supervised; give the names of the students.
4. List activities undertaken to recruit talented in-state students at the undergraduate level or to recruit talented in-state or out-of-state students at the graduate level.
5. List positions held by recent former students and awards and honors achieved by former students not previously reported, insofar as you have knowledge of them.

OPTIONAL (Not a contractual requirement)

B. Creative and Professional Activities and Research

1. List the one or two professional achievements or activities during the year that you consider most significant (these need not be cited again elsewhere).
2. List publications (indicate by * items that were subject to substantial peer review prior to publication).
3. List prizes, awards, fellowships, grants, commissions, or other recognition received.
4. List research projects; list grants from University or non-University sources for research or development or for instructional or program improvement.
5. List appearances or activities off-campus or on-campus as a speaker, conductor, soloist, ensemble member, adjudicator, actor, director, designer, panelist, clinician, consultant, director of a workshop or institute, or chair of a session at a professional meeting; list performances of your compositions or arrangements; list recordings you have made or recordings of your works; list other forms of recognition unique to your field of specialization.

OPTIONAL of Lecturer I/II (not contractually required)


REQUIRED of Lecturer III/IV

C. Service (please discuss all that are applicable)

1. Indicate the number of students advised.
2. Indicate administrative duties or leadership initiatives on behalf of the School of Music, Theatre & Dance including participation in examinations for students outside your department.
4. List service on committees of the SMTD, your department, or the University and participation in meetings and other official activities of the School of Music and its departments.
5. List service in elective or appointive leadership roles in professional associations at the national, international, regional, state, or local levels.
7. List instances of your contributing your professional abilities and expertise without compensation or with nominal compensation on behalf of continuing education in music or in the service of government agencies, citizens' groups, educational or religious institutions, or charitable organizations at the local, state, national, or international levels.

APPENDIX G

FACULTY LEAVE OF ABSENCE

Form HR36609		FACULTY LEAVE OF ABSENCE REQUEST		 UNIVERSITY OF MICHIGAN Page 1 of 4	
PART 1: PERSONAL INFORMATION (LOA) Faculty Member to return completed form to department chair.					
Last Name:		First Name:		Middle Name:	UMID:
Department:		Department ID:	Title of Position:		Date of Request:
PART 2: FACULTY MEMBER Check the type of leave, supply the required information in writing, and provide attachments as indicated. Reference Standard Practice Guide 201.30-1, Leaves of Absence. NOTE: Faculty represented by a Union should refer to the collective bargaining agreement that governs the terms and conditions of their employment for information regarding leaves of absence.					
PART 2a: LEAVES APPLICABLE TO FACULTY (Page 2 must be completed and attached.)					For SSC Use Only
LEAVE TYPE	DESCRIPTION				PMOD
<input type="checkbox"/> Duty Off-Campus	Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.90 and Faculty Handbook 16.B.4)				CA (Full) CB (Partial)
<input type="checkbox"/> Intergovernment Personnel Assignment	Attach OF69 Assignment Agreement. Such assignments will be for a specified, limited duration. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.30-5 and Faculty Handbook 16.B.3)				DJ
<input type="checkbox"/> LEO Scholarly Leave (unpaid)	Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to LEO Contract Article XXXI, Section C, #2)				DZ
<input type="checkbox"/> Outside US Assignment	Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.30-1 and Regents Bylaws, Section 5.13)				IZ
<input type="checkbox"/> Phased Furlough Agreement	Indicate specific plans and effective date of combined retirement furlough and phased retirement plans, only if hired prior to 01/01/1984. Retirement Agreement required, but no PAR transaction. (Refer to SPG 201.81 and SPG 201.83.)				BD
<input type="checkbox"/> Research Leave (unpaid)	Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.30-1)				AK
<input type="checkbox"/> Retirement Furlough	Indicate specific plans and effective date of complete retirement, only if hired prior to 01/01/1984. Retirement Agreement required, but no PAR transaction. (Refer to SPG 201.81 and SPG 201.83)				BB
<input type="checkbox"/> Scholarly Activity Leave	Indicate the location and duties to be performed in Section 4b and 4c. (Refer to SPG 201.30-4 and Faculty Handbook 16.B.2)				DI
<input type="checkbox"/> Teaching Leave (unpaid)	Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.30-1)				AJ
PART 3: LEAVE ACKNOWLEDGEMENT AND APPROVAL					
Returning to work before the leave expiration date is at the discretion of the University. Benefit plans not continued during the leave (self and dependents, if applicable) will be reinstated upon return from leave into a benefit eligible appointment. Deductions for reinstated benefits will resume.					
Faculty Signature:			Faculty Name Printed:		
Approved by Department Head:			Dean/Director or Representative:		
Telephone:	Date:	Uniqname:	Telephone:	Date:	Uniqname:

FACULTY LEAVE OF
ABSENCE REQUEST

Name (Last, First, Middle):		UMID:
PART 4: LEAVE INFORMATION		
To be completed by faculty member: Please submit this form to the chair(s)/director(s) of all the units in which you hold budgeted appointments for approval.		
Leave Begin Date:	Leave End Date:	
PART 4a: Select <u>one</u> of the following leaves and check relevant boxes (<i>information required in Part 4b, 4c and/or 4d</i>)		
<input type="checkbox"/> Duty Off-Campus Leave (DOC) for:		
<input type="checkbox"/> One Term	100% Salary Support	
<input type="checkbox"/> Two Terms	50% Salary Support	
<input type="checkbox"/> Other		
<input type="checkbox"/> Leave Without Salary (LWOS). Please explain reason for LWOS in Part 4d below.		
PART 4b: Location during leave (<i>information required for Regents' reporting purposes</i>)		
Organization:	City:	State/Country:
PART 4c: Briefly describe research plans while on leave (<i>information required for Regents' reporting purposes</i>)		
PART 4d: Briefly explain reason for Leave Without Salary (<i>information required for Regents' reporting purposes</i>)		
Note: For University Year appointments on a leave at any effort less than 100%, Fall Term Leaves will run from the beginning of the Academic Year (8/31 to 12/31 for Ann Arbor and Dearborn) (9/1 to 12/31 for Flint). Winter Term Leaves will run until the end of the Academic Year (1/1 to 5/31). Salary and Benefits will also be altered beginning in July for Fall and ending in June for Winter.		

FACULTY LEAVE OF ABSENCE REQUEST

DESCRIPTIONS FOR FACULTY LEAVE OF ABSENCE REQUEST

Duty Off-Campus - Full

Duties require activities at a site away from one of the three campus locations for a period of one month or more. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.90 and Faculty Handbook 16.B.4)

Duty Off-Campus - Partial

Duties require activities at a site away from one of the three campus locations for a period of one month or more. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.90 and Faculty Handbook 16.B.4)

Intergovernmental Personnel Assignment

Attach OF69 Assignment Agreement. Enter into agreements with agencies of the Federal Government which allow for the temporary assignment of University faculty or staff members to roles in those agencies or for similar assignment of Federal employees to roles within the University. Intergovernmental Personnel Agreements are intended to enhance cooperation between the University and Federal agencies, to take advantage of unusual expertise, skills, or talents, and to provide valuable professional development opportunities for the staff members involved. Such assignments will be for a specified, limited duration. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.30-5 and Faculty Handbook 16.B.3)

LEO Scholarly Leave (unpaid)

Refer to LEO Contract Article XXXI, Section C, #2.

Outside US Assignment

The person is elected to a full-time public political office (except that of Michigan state legislator), or appointed to an office of significant responsibility such as head of or assistant to the head of an office, department, or branch of the federal, state, or local government, or to a position of significant responsibility in a non-profit organization dedicated to public service. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.30-1 and Regents Bylaws, Section 5.13)

Phased Furlough Agreement

Indicate specific plans and effective date of combined retirement furlough and phased retirement plans, only if hired prior to 01/01/1984. Retirement Agreement required, but no PAR transaction. (Refer to SPG 201.81, SPG 201.83)

Research Leave (unpaid)

The person is invited to participate in a unique research project. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.30-1)

Retirement Furlough

Indicate specific plans and effective date of complete retirement, only if hired prior to 01/01/1984. Retirement Agreement required, but no PAR transaction. (Refer to SPG 201.81 and SPG 201.83)

Scholarly Activity Leave

Accept a temporary appointment at another institution when the appointment would, in the interest of the University, permit the faculty member to engage in scholarly activities that would not be otherwise practicably available, and that would significantly enhance the professional effectiveness of the faculty member. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.30-4 and Faculty Handbook 16.B.2)

Teaching Leave (unpaid)

The person is invited to teach as a visiting faculty member in another teaching institution. Indicate the location and duties to be performed in Sections 4b and 4c. (Refer to SPG 201.30-1)

FACULTY LEAVE OF ABSENCE REQUEST

INSTRUCTIONS FOR FACULTY LEAVE OF ABSENCE REQUEST

This form is used for:

- Faculty leave of absence (Part 2a).

This form needs to be prepared when:

- Faculty member requests a leave of absence.

PLEASE INCLUDE THE FOLLOWING INFORMATION:

PART 1: PERSONAL INFORMATION (*Leave of Absence*)

- Employee name.
- UMID.
- Department information.
- Title.
- Date of request.

PART 2: FACULTY MEMBER (*Reference Standard Practice Guide 201.30-1, Leaves of Absence*)

- Completed by faculty member.
- Complete Part 2a.

PART 2a: LEAVES APPLICABLE TO FACULTY

- Provide required attachments (if any) for the type of leave you have chosen.

PART 3: LEAVE ACKNOWLEDGEMENT AND APPROVAL

- Approved Faculty Signature and Name Printed.
- Approved faculty member's department administrator and Dean/Director or Representative.

PART 4: LEAVE INFORMATION

- Provide Leave Begin Date and Leave End Date for leave(s) in Section 2a.

PART 4a:

- Select DOC or LWOS.

PART 4b:

- Provide location during Leave.

PART 4c:

- Describe Research Leave plans.

PART 4d:

- Describe Reason for LWOS plans.

APPENDIX H

GUIDELINES FOR GRADING PRACTICES

The governing faculty of the School has established the following descriptions and criteria for grading at the graduate level:

Excellent: Markedly above average for graduate students

A+ (9 honor points): The highest conceivable standard of work

A (8 honor points): Genuinely outstanding

A- (7 honor points): A very high standard in which strengths far exceed weaknesses

Good: Standard normally expected of graduate students

B+ (6 honor points): Above average

B (5 honor points): Average

B- (4 honor points): Revealing certain weaknesses

Fair: Below average for graduate students

C+ (3 honor points): Lacking essential qualities

C (2 honor points): Marginally acceptable

C- (1 honor point): Need for marked improvement to remain in the program

Poor: Not acceptable at the graduate level

D (0 honor points)

E (0 honor points)

The School's undergraduate students will be graded in accordance with the following system:

Excellent:

A+ (4.0 honor points)

A (4.0 honor points)

A- (3.7 honor points)

Good:

B+ (3.3 honor points)

B (3.0 honor points)

B- (2.7 honor points)

Fair:

C+ (2.3 honor points)

C (2.0 honor points)

C- (1.7 honor points)

Poor:

D+ (1.3 honor points)

D (1.0 honor points)

D- (0.7 honor points)

Not Passed:

E (0.0 honor points)

APPENDIX I

SHORT-TERM TRAVEL LEAVE OF ABSENCE

This process is now processed electronically. Please log into the web site noted below for access and submission of the request.

<https://weblogin.umich.edu/?cosign-smt.d.umich.edu&https://smt.d.umich.edu/auth/faculty-forms/short-term-travel-leave-of-absence.php>

APPENDIX J

UNIVERSITY OF MICHIGAN - TRAVEL REGISTRY

NEW UPDATES:

The University of Michigan Travel Registry has been updated to make it easier to register travel.

Ease of use. You can now register your travel with just 3 key pieces of information

- **Trip Details** – when and where the person/group is traveling.
- **Program Affiliation (if applicable)** – name and program contact information.
- **Emergency Contacts/Communications** – information on who to contact in the case of an emergency.

Passport information has been removed. You are no longer asked to provide passport information for you, your students, faculty, or staff.

HTH Worldwide Insurance updated to reflect new SPG. The HTH Worldwide insurance purchase and registration details on the *Trip Summary* reflect the updated University International Travel Standard Practice Guide.

<http://www.ur.umich.edu/update/archives/120321/travel>

Detailed itinerary information can be entered optionally.

For those of you who travel abroad, just a reminder to register your trips on the Travel Registry website.

Of note, all faculty and staff traveling on University-related business are automatically covered by a blanket health insurance plan that is provided by U-M at no cost to the individual or department. This change went into effect Sept 1, 2011. **To qualify, staff and faculty must register their travel in the U-M Travel Registry and also sign-in with the HTH Business plan** <<http://www.ur.umich.edu/update/archives/110912/travel>>.

The Travel Registry<<https://heprod.dsc.umich.edu/services/RegisterYourTravel>> is a secure U-M website within Wolverine Access where you can record your itinerary and contact information, especially helpful for international travel. The University ensures the protection of private personal information that is maintained or processed by the University in accordance with federal and state regulations. Only authorized administrators with prior training will have access to the information stored in the travel registry.

The Registry is a convenient, one-stop service that supports emergency communications and response, access to travel-abroad health insurance, and more. Please take advantage of the University's health and safety resources to support and advance your international experiences.

University faculty, staff, and students are expected to register when traveling abroad for academic, business or any other University-related purpose. [Please see SPG 601.31 International Travel Policy.](#)

The University requires that you register a complete itinerary and contact information if you are:

- A student participating in University-sponsored programs abroad;
- A student traveling, for any academic or other UM-associated purpose, to a country where a U.S. State Department Travel Warning [\(<http://travel.state.gov/travel/cis_pa_tw/tw/tw_1764.html>](http://travel.state.gov/travel/cis_pa_tw/tw/tw_1764.html)) is in effect; or
- A faculty, staff member, or a student leading a group abroad that includes students.

The UM Travel Registry link is: [\(<http://globalportal.umich.edu/register-travel.php>\)](http://globalportal.umich.edu/register-travel.php). Please visit the site to learn more about all the benefits of registration.

Please feel free to contact our office if you have questions or problems with the registration site.

APPENDIX K

FACULTY SEARCH POLICIES FOR SEARCH COMMITTEES

I. Approval Process

The Department Chair prepares the following documents for the Dean and Executive Committee approval; timeline for this is typically at the beginning of the fall semester. To help with budget projections and to expedite processes, chairs may be asked at the end of the winter term to report anticipated searches for the coming year. The standard form for search requests should be used for this purpose.

- ☐ **Request to Conduct a Search**
- ☐ **Position Description Request**
- ☐ **Proposed Search Committee (typically five members)**

II. Search Process

Department chairs provide suggestions for search committee membership. The Executive Committee gives final approval on all search committee memberships. Regular instructional positions are posted by the School with Human Resources/ Employment Services. Generally, candidates for faculty positions apply directly to the department through a search committee, or apply through the University's on-line system. The Unit Human Resources Representative (Amy Truckey) will work with University of Michigan HR Employment Services to post the position. An Affirmative Action Report is required at the end of each search and must accompany the new faculty hiring paperwork. Search committee chairs will be asked to assist in preparing this report.

- ☐ The Dean and/or Associate Dean for Graduate Studies, Equity, and Inclusion meet with the search committee to:
 - A. Give them their charge.
 - B. Provide School search guidelines and discuss search strategies.
 - C. Examine the position in the context of SMTD priorities and constraints.
 - D. Present Institutional Equity issues, remind the committee that U-M is an Equal Opportunity, non-discriminatory Employer, and ensure that the search committee will actively pursue a diverse pool of qualified, viable candidates.

The search committee works with Amy Truckey and the Dean's Office. The Search Committee will review applications, holds meetings, and request additional materials (through Amy Truckey).

Faculty searches are confidential. Applications should not be discussed with faculty, staff or students who are not members of the Search Committee. Application files will be reviewed electronically via a secure file sharing service.

- ☐ During the time period of approximately October through January, the search committee chair provides the Executive Committee a list of typically no fewer than three candidates

to be invited to campus for interviews. The Search Committee Chair may at times be invited to an Executive Committee meeting to discuss the candidates. CVs, list of strengths and weakness, and other pertinent information deemed valuable by the Search Committee and Dean must be provided to the Dean's Office prior to the meeting date.

- ❑ With the Executive Committee's approval, the Search Committee Chair invites selected candidates for campus interviews. HR provides candidates instructions to make their own travel arrangements. (See travel policy below.) Amy Truckey will make hotel reservations. The Chair sets up interview schedules with the Dean's Office and Scheduling Office and gives this information to Amy Truckey. Interviews are typically scheduled and conducted during the time period of December through March.
- ❑ At the conclusion of the interview process, the Search Committee Chair provides a final written report including:
 - A. An unranked list of the candidates including an evaluation of each candidate's work, including positive and negative points.
 - B. Letters of recommendation (five for the rank of associate or professor, three for the rank of assistant professor); more than five is highly desirable.
 - C. Evidence of teaching experience and professional activity; this will vary by department.
 - D. The committee's view as to appropriate rank of appointment for recommended candidates

The Executive Committee reviews and selects a final candidate. The Dean may seek approval from the Executive Committee to extend an offer to more than one candidate should the need arise.

Upon approval by the Executive Committee, the Dean's Office may need to prepare a casebook for the Provost seeking authorization to extend an offer. Once written approval is obtained from the Provost, the Dean may make an offer. Prior to this, any discussion with candidates is by definition provisional. If accepted, the Dean's Office prepares a formal letter of offer/contract. Offers of appointment cannot be made after April 30 unless special permission is received from the candidate's home institution as well as the Provost's Office.

Upon receipt of the signed contract and completed employment forms, the Dean's Office may need to prepare a Regent's Communication, if applicable, and Amy Truckey will proceed with the Appointment Request.

The Search Committee Chair is informed of a candidate's acceptance. The Search Committee Chair contacts finalists who did not receive offers; other unsuccessful candidates are also notified, typically in writing. The timing of rejections depends on the status of the search and on confidentiality issues. The Search Committee chair works with Amy Truckey to draft and send out rejection letters.

III. Travel and Hosting Policies

Travel Reimbursement for Search Candidates for Faculty Positions

A. The School will pay all costs (transportation, lodging, and meals) incurred by candidates invited to interview for faculty posts. Contact Amy Truckey as soon as dates are finalized. Lodging will be at the Campus Inn unless otherwise requested.

In an effort to limit the amount of out-of-pocket money for the candidate, we are using Conlin Travel for recruitment. The candidate will be given an 800 number to call to arrange for their airline ticket. The University will reimburse for incidental expenses, e.g. parking, ground transportation. Candidates must submit receipts and a W-9 at the conclusion of the visit.

B. For each open post, no more than three candidates may be invited to interview unless additional candidate visits are approved by the Dean.

Hosting Policy for Members of the Search Committee

A. Meal expenses for visiting candidates, together with up to three search committee members, will be reimbursed to a maximum of \$25 per person for breakfast; \$25 per person for lunch; and \$55 per person for dinner. Alcoholic beverages are not reimbursable. Original receipts must be submitted to support all claims for reimbursement.

B. Use of privately owned vehicles in relation to search activity will be reimbursed at the current mileage rate.

ADDENDUM A:

THE DEAN'S OFFICE IS RESPONSIBLE FOR THE FOLLOWING:

Guidelines for Obtaining Authorizations to Extend Offers (AEOs) –

The following information is required to create a casebook the Provost's review.

1. Candidate's updated curriculum vitae

2. Letters of Recommendation -

Letters of recommendation are required (five for the rank of associate or professor, three for the rank of assistant professor) more than five is highly desirable. The letters should be "arms-length*" and from academic reviewers at or above the rank of the appointment being considered. Although the majority of the letters should be from academic reviewers at peer institutions, letters from professionals in the field may also be acceptable. Reviewers should address the proposed rank and tenure status of the candidate.

3. A brief description of the credentials, rank, current institution, and contact information for each external reviewer and the relationship to the candidate.

4. Substantive description of candidate's work and significant contributions to the field (more than a listing of titles).

5. Evidence of teaching experience and professional activities, e.g. accomplishments of former students, or course evaluations with an explanation of the teaching evaluation system.

* Arms-Length Information

We consider letters from persons who have served as a candidate's thesis adviser or mentor to be "not arm's length." Some close professional associations can in some cases also preclude acceptance as "arm's-length." While these kinds of letters can be especially helpful (because the letter writers can be presumed to have a good sense of both the person and the work), it is also true that their own reputations are involved in the work being evaluated. If such letters are included, they must be in addition to the minimum requirement of five "arm's length" letters. Letters will be accepted from persons who have been co-authors or major research collaborators in excess of ten years prior to promotion. Letters from persons who do not know the candidate, but who may have a clear sense of the significance of the candidate's qualifications, are of greater value.

6. Messages thanking referees for their letters will be routinely sent following receipt of reviews.

Not-Arm's Length Examples:

- Mentors
- Thesis Advisors
- Co-Authors
- Past Collaborators on Projects
- Faculty who participate in candidate's dissertation process
- Reviewers who attended the same institution/department at the same time as the candidate
- Personal or Family Friends

APPENDIX L

STUDENT TRAVEL/ABSENCE FORM

The process is now on-line. Please visit the below website to request student travel/absence approval.

<https://smt.d.umich.edu/auth/faculty-forms/student-travel-absence.php>

APPENDIX M

SELECTING FACULTY TO SERVE ON FACULTY GRIEVANCE COMMITTEES

SMTD Faculty Handbook, Chapter 23 - Addendum

The School of Music, Theatre & Dance adopted formal, university-established grievance procedures in December 2010. Since that time, we have been informed by the Provost's Office of the need to select faculty to serve in two separate capacities: 1) as members of a university-wide Faculty Grievance Hearing Panel (FGHP), SMTD members of which may be requested to serve on a Grievance Hearing Board in cases where the grievant comes from an academic unit other than SMTD; and 2) as part of an SMTD pool of eligible Grievance Hearing Board (GHB) members who may be requested to serve on a Grievance Hearing Board in cases where the grievant comes from within SMTD. The following addendum to the SMTD Faculty Handbook is hereby proposed:

Sec. 5.07. The governing faculty of the School shall elect two tenured faculty members to serve on the FGHP, as outlined above in section 5.02.

(a) FGHP members will be chosen from among the tenured members of the faculty of the School of Music, Theatre & Dance. The dean of the School, associate deans, assistant deans, and assistants to the dean (including Executive Committee members, chairs, and directors) are *not* eligible to serve in this role. FGHP members will be elected to three-year terms to begin on January 1 of the first year. Terms are to be served non-consecutively, though there are no limits to the number of times an individual can serve in this capacity.

(b) The process for electing FGHP members will be exactly the same as that for electing the faculty ombuds, as outlined above in Chap. 14, Sec. IV-D, except that in this case it is the *two* candidates receiving the highest preferential ranking on the final ballot who shall become members of the FGHP. The remaining candidates shall constitute a ranked set of Alternates.

Sec. 5.08. The governing faculty of the School shall elect five tenured faculty members (one from each of the five groups below) to comprise a pool of potential GHB members (hereafter GHB Pool), as outlined in section 5.03(b).

(a) GHB Pool members will be chosen from among the tenured members of the faculty of the School of Music, Theatre & Dance. The dean of the School, associate deans, assistant deans, and assistants to the dean (including Executive Committee members, chairs, and directors) are *not* eligible to serve in this role. GHB Pool members will be elected to three-year terms to begin on January 1 of the first year. Terms are to be served non-consecutively, though there are no limits to the number of times an individual can serve in this capacity. Individuals may serve simultaneously as FGHP and GHB Pool members.

(b) The process for electing GHB Pool members shall be as follows:

1. Members of the governing faculty shall receive a nominating ballot consisting of all eligible faculty divided into the following five groups:

Group 1 shall consist of members of the departments of *Composition, Conducting, and Performing Arts Technology*.

Group 2 shall consist of members of the departments of *Music Education, Music Theory, and Musicology*.

Group 3 shall consist of members of the departments of *Organ, Piano, and Strings*.

Group 4 shall consist of members of the departments of *Voice, Winds and Percussion, and Jazz and Contemporary Improvisation*.

Group 5 shall consist of members of the departments of *Dance, Musical Theatre, and Theatre and Drama*.

2. Each faculty member shall rank in preferential order his or her top three choices within each group. The individual within each group who receives the highest preferential ranking shall become a member of the GHB Pool, pending the consent of the elected individual to serve in this capacity. The candidates with the next two highest preferential rankings shall constitute a ranked set of Alternates, again pending the consent of the elected individual. Any tie that occurs shall be broken by lot.

Sec. 5.09. If for any reason a member of the FGHP or the GHB Pool is unable to participate in a particular grievance, the first Alternate will be asked to carry out that member's responsibilities. If the first Alternate cannot participate, the second Alternate will be asked, and so on.

(a) An FGHP or GHB Pool member shall not participate in a particular grievance if he or she was involved in making or specifically affirming the disputed decision or has significant family or personal association (positive or negative) with one of the parties involved.

(December 7, 2012 revision)

APPENDIX N

EXECUTIVE COMMITTEE DEFINITION & RESPONSIBILITIES

School of Music, Theatre & Dance Executive Committee

Definition and Responsibilities

The SMTD Executive Committee (EC) comprises six tenured faculty members elected by the governing faculty from three divisions (i.e., groups of departments) to staggered three-year terms. The elective process fosters even distribution of committee members across the departments of the School. Once elected, members represent the interests of the entire School. Election to the Executive Committee is approved by the Regents of the University. The Dean of the School convenes the Executive Committee and may cast a deciding vote in the case of a tie. Associate deans attend meetings *ex officio* but have no vote. The Executive Committee instructs the Dean in faculty affairs (including appointments, tenure, and promotions) and advises the Dean in certain student affairs, programmatic initiatives, and matters related to the management and operations of the School. The Dean and the Executive Committee review the documented performance of each faculty member under consideration for annual merit increase. The Executive Committee is a sounding board for the Dean concerning issues affecting the entire School. Abstracted minutes of all meetings will be circulated to the faculty; the proceedings of the meetings are confidential.

Attendance and Voting Protocol -

In order to ensure a fair and equitable process, the following attendance and voting protocol will be followed:

- EC members will excuse themselves from discussions when a member of their home department is being considered for promotion and/or tenure. The related passage from the SMTD Faculty Handbook reads: "At the discretion of the Executive Committee, any faculty member familiar with the candidate's field may be invited to address the Executive Committee in order to answer questions that may arise." After questions are answered, that person (EC member or not) would be excused.
- All EC members will vote on cases considered for promotion and/or tenure, including those cases within an EC member's department (EC members represent the interests of the entire School).
- EC members will not participate in discussions related to searches within their home department, but ultimately will vote on all issues related to searches.
- EC members will excuse themselves during a departmental chair's FAR reporting for their home department, unless an EC member is also the chair doing the reporting.
- Unless their contribution is explicitly sought by the Dean, ex-officio members (associate deans) will excuse themselves from any deliberations involving their home departments, including search requests, promotion/tenure cases, and FAR reporting. Ex-officio members will not have access to supporting documentation related to these matters.

APPENDIX O
MERIT REVIEW COMMITTEE REPORT



To: Governing Faculty, School of Music, Theatre & Dance
From: Wayne Petty, on behalf of the Merit Review committee
Date: 15 February 2019
Re: Merit Review committee report

Attached please find an amended report from the committee charged in Fall 2017 by Interim Dean Melody Racine to study the process of merit review in the School of Music, Theatre & Dance (SMTD).

The amendments in this report incorporate suggestions from department chairs and other faculty made during the comment period following the circulation of this report on 08 February 2019.

Deletions are ~~struck through~~; additions are underlined. Except as indicated by strike-through and underlining, the text of this report is identical to that circulated on 08 February 2019.

When voting whether to adopt the recommendations in this report, the SMTD governing faculty will vote on the amended version presented here.

UNIVERSITY OF MICHIGAN SCHOOL OF MUSIC, THEATRE & DANCE

REPORT FROM THE MERIT REVIEW COMMITTEE TO THE GOVERNING FACULTY WITH RECOMMENDATIONS FOR REVISING THE PROCEDURES FOR MERIT REVIEW AT THE SCHOOL OF MUSIC, THEATRE & DANCE

15 February 2019

Background

In the months leading to the 2017-2018 academic year, professors in the School of Music, Theatre & Dance expressed reservations about the workings of the merit review system-the process governing annual performance evaluations and the use of those evaluations as a basis for annual salary increases. Doubts had arisen, moreover, about the fairness of a system in which the administration was not always able to provide clear and specific reasons for individual merit pay increases. It appeared to some professors that the school was not meeting the faculty's reasonable expectations for fairness and transparency in decisions affecting their lives.

In fall 2017 Interim Dean Melody Racine formed a committee to study the process of merit review at the SMTD. The Merit Review committee's charges were {1) to evaluate the process of merit review as it then stood; {2) to propose changes where warranted; {3) to suggest ways to improve communication to the faculty of decisions relating to merit review and salary increases. To execute this charge, the committee met weekly {with an occasional hiatus) for the next several months, consulting as well with faculty in the SMTD and with administrators in the SMTD and elsewhere in the University of Michigan. This report is the result of the committee's work.

This report was first presented to the governing faculty and discussed at a faculty meeting on 18 April 2018. A town hall on 11 January 2019 led the Merit Review committee to revise the proposal. Working together, the Merit Review committee and the Executive Committee then brought revised the proposal to the form presented here for distribution to the governing faculty on 08 February 2019. Suggestions received in the following week from faculty and through a chairs' meeting have been approved by the Merit Review committee and are incorporated here as amendments: deletions are struck through and new language underlined.

A section of this report is devoted to each step of the merit review process. Each section begins with the committee's assessment of the current procedure and concludes with recommendations.

§1 Faculty Activities Report {FAR}

§2 Chair's annual assessment of the faculty in the chair's department

§3 Executive Committee's evaluation of each faculty member

§4 Use of the Executive Committee ratings to determine salary increases

§5 Dean's review of the salary increases

§6 Communication between the dean and the faculty

§7 Summary

§1 Faculty Activities Report (FAR)

Assessment

Each year in January, professors with tenured, tenure-track, or clinical track appointments submit a Faculty Activities Report (FAR} through which they report activities for the previous calendar

year (**Attachment A**). The FAR classifies activities into three main areas: teaching, creative and professional activities, and service. Within each of the three main areas, the FAR outlines several types of possible activity. In addition, faculty are asked within each main area to list activities that promote diversity, equity, and inclusion (DEI).

The FAR's outline format allows for a degree of standardization among the reports, although in practice different professors approach the FAR in different ways, some offering more or less detail, more or less narrative explanation, and so forth. These different approaches to the FAR allow professors some flexibility to represent their work to the administration but also increase the burden on those charged with reading, evaluating, and comparing the relative merits among FARs.

The FAR also calls for percentages of effort: 50% teaching, 40% creative and professional activity, 10% service. Any faculty member can request that these percentages be adjusted up or down by 10% in a particular year. Although the percentage-of-effort system is useful for clarifying general expectations for how professors should spend their time, the maximum 20% for service does not reflect how onerous service duties can become. A clinical-track appointment will often carry expectations different from those implied by these percentages.

Recommendations

The Merit Review committee recommends the following:

(1.1} that the current format of the FAR be retained, but that the instructions be revised to encourage professors to elaborate, in narrative form or otherwise, on their year's work and contextualize it in whatever ways the professors think appropriate and necessary;

(1.2} that professors be allowed to choose a narrative-only approach to the FAR;

(1.3} that the 50-40-10 percentages of effort be retained, with possible adjustment of these percentages as allowed in the current FAR;

(1.4} that the FAR be revised to allow for individual professors, with the approval of the chair and the dean, to revise these percentages of effort still further to allow for exceptional cases where duties in one area, especially service, are exceptionally high in a particular year;

(1.5} that the FAR be revised ~~to encourage clinical-track faculty to request adjustments to these percentages to reflect the specific expectations of their appointments; to provide space for clinical-track faculty to request percentages of effort in teaching, creative and professional activities, and service appropriate to their appointments and to their activities during the year covered by the FAR; and that chairs recommend to the dean whether to accept these percentages as a basis for the merit review;~~

(1.6} that the FAR be reviewed by the Executive Committee for possible revision every three years, with input from the faculty.

§2 Chair's annual assessment of the faculty in the chair's department

Assessment

After reviewing the FAR for each professor in the chair's department, the chair submits to the Executive Committee the Chair's Annual Assessment of the Faculty, through which the chair rates each faculty member in several subcategories of teaching, creative and professional activity, and service, relative to other members of the department (**Attachment B**). Chairs are required to disclose the extent to which they have reviewed each professor's record for the previous calendar year. Space for a prose summary is provided in each of the main categories, essentially an evaluation of the professor's strengths and weaknesses as determined by the chair. Chairs then attend an Executive Committee meeting to report their findings, discuss them, field questions, and so forth. The evaluation forms are not retained beyond the completion of the annual evaluation, which encourages candor from department chairs but also entails a loss of information that would be useful for a dean attempting to communicate with faculty about their annual reviews.

The seven columns in the evaluation form require chairs to assess each professor as "below average," "average," or "above average" for the department without establishing a baseline for what constitutes "average" performance for faculty members at any particular career stage. And many chairs have a natural reluctance to rate any professor "below average," leaving the members of the Executive Committee to make those judgments as best they can, often without the field-specific knowledge that chairs possess.

Recommendations

The Merit Review committee recommends the following:

(2.1} that the current format of the Chair's Annual Assessment of Faculty be retained but that the seven columns be replaced with three;

(2.2} that these columns be renamed "1: needs improvement," "2: good," and "3: exceptional," thereby eliminating the categories "below average for department," "average for department," and "above average for department" that place professors in competition with each other;

(2.3} that chairs establish for the Executive Committee a baseline for what in the chair's view constitutes work that "needs improvement," is "good," and is "exceptional" for professors in their departments at various ranks or career stages;

(2.4} that each chair, as part of the annual presentation to the Executive Committee, provide an *overall* rating of each professor as "1: needs improvement," "2: good," or "3: exceptional" in each of the three main categories (teaching, creative and professional activity, and service}, and that the Chair's Annual Assessment form be modified to provide space for such overall ratings;

(2.5} that no limit be placed on the number of chairs' ratings of "1: needs improvement" but that chairs be required to provide special justification for any such assessment;

(2.6} that no limit be placed on number of chairs' ratings of "3: exceptional" but that chairs be required to provide special justification for any such assessment;

(2.7} that the Executive Committee be encouraged to engage the chairs in a discussion as to which professors in the department most deserve ratings of "3: exceptional" for that year, with the

expectation that Executive Committee members shall normally reach those decisions at the time of the chair's oral report to the Executive Committee;

(2.8} that the Chair's Annual Assessment of Faculty forms ~~be retained until December 15 of the calendar year in which professors receive their annual reviews; that any professor be allowed to examine the Chair's Annual Assessment of Faculty form pertaining to his or her evaluation until that date; and that any professor, on request, be given a copy of that form until that date.~~ be confidential and advisory to the Executive Committee as one source of information among many that serve as the basis for the Executive Committee's evaluations.

§3 Executive Committee's evaluation of each faculty member

Assessment

Following the chairs' annual presentations to the Executive Committee, each of the six elected members of the Executive Committee, working independently, rates each professor in the three main areas of activity (teaching, creative and professional activity, and service} using the Executive Committee Annual Assessment of Faculty (**Attachment C**). Ratings are from "1" to "10" as follows: "1-2: Marginally Acceptable," "3-4: Good (Below Average for SMTD}," "5-6: Very Good (Average for SMTD}," "7-8: Excellent (Above Average for SMTD}," "9-10: Genuinely Outstanding." Cautioning against too many high ratings, the form asks that "for the total faculty the number of ratings of 1 through 4 in each category . . . should approximately equal the number of ratings of 7 through 10." The system thus resembles grading on a curve, with some professors' work necessarily being downgraded to allow for high evaluations of others'. The requirement to rank incommensurable activities among professors in different departments and at different career stages poses the risk that evaluations will be mediated through cultural and institutional bias, whatever efforts individual EC members may make to counteract such tendencies. This aspect of the current merit review system is problematic.

Under the current system, each rating on the Executive Committee Annual Assessment of Faculty form is multiplied by a factor equivalent to 50% for teaching, 40% for creative and professional activity, and 10% for service, with adjustments up or down as requested on the professor's FAR, to achieve an overall rating for each professor by each of the six elected members of the Executive Committee. The six ratings are then averaged to yield a final score for each professor's work. The scores are then arranged from highest to lowest to yield a top- to-bottom set of ratings for all the professors in the school. The EC rating forms are then destroyed.

Recommendations

The Merit Review committee recommends the following:

{3.1} that the format of the Executive Committee Annual Assessment of Faculty be retained but with the number of columns reduced to three: "1: needs improvement," "2: good," "3: exceptional";

{3.2} that for each department the Executive Committee strive, but not be required, to rate no more than 15-20% of professors as "3: exceptional" in teaching, no more than 15-20% of professors as "3: exceptional" in creative and professional activity, and no more than 15- 20% of professors as "3: exceptional" in service, to ensure a fairly even distribution of the highest ratings across departments throughout the school;

{3.2a} that the Executive Committee members attach a comment to each rating of "1: needs improvement" and "3: exceptional" to explain the basis for the rating;

{3.3} that no ratings of "1: needs improvement" need be given to balance ratings of "3: exceptional";

{3.4} that the idea of an overall rating be retained but that a professor's overall rating be calculated by multiplying the scores of "1: needs improvement," "2: good," and "3: exceptional" by the percentages, 50-40-10 or otherwise, given by the FAR;

{3.5} that the Executive Committee Annual Assessment of Faculty forms be retained until December 15 of the calendar year in which professors receive their annual review; that any professor and his or her department chair be allowed to examine the Executive Committee Annual Assessment of Faculty forms, to include all ratings as well as comments attached as required under {3.2a} above, that pertain to that professor's work, with the names of the Executive Committee evaluators redacted, until that date; and that any professor, on request, be given a copy of those forms, with the names of the Executive Committee evaluators redacted, until that date.

§4 Use of the Executive Committee ratings to determine salary increases

Assessment

The Chief Administrative Officer divides the top-to-bottom ratings into four tiers, first dividing the ratings into those above and below the mean, then dividing each of those two groups again into ratings above and below the mean within each group. Funds available for merit increases—the total allocation for faculty salary increases less increases for promotion, equity, and retention—are then allocated as follows: Professors in the lowest Tier 1 receive half the merit increase of those in the next highest Tier 2, one-third of those in the next highest Tier 3, and one-fourth of those in the highest Tier 4. Raises are expressed as a percentage of the base salary. In 2016 and 2017 those percentages were .78% for Tier 1, 1.57% for Tier 2, 2.36% for Tier 3, and 3.15% for Tier 4. Under this system, two professors in the same tier receive the same percentage increase to their base salaries.

Two results of this percentage-based system are widely considered problematic: professors with the highest salaries tend to receive significantly greater increases to their base salaries than do professors in the lower ranges of the salary distribution; and the difference between the highest and lowest salaries increases over time.

Recommendation

The Merit Review committee recommends the following:

(4.1} that the current percentage-based system be replaced by a *weighted share system* in which the total allocation for faculty merit increases (that is, the total allocation for faculty salary increases less deductions for promotion, equity, and retention} is divided by the sum of all the professors' ratings to yield a share unit *u*, with each professor's salary increase determined by multiplying the share unit *u* by the professor's individual rating, the result being that two professors whose work is deemed equally meritorious earn raises of the same *dollar amount* (not

the same percentage} regardless of base salary, rank, or department;

(4.2} that the current practice of awarding 10% raises for promotion in rank be retained.

§5 Dean's review of the salary increases

Assessment

The dean reviews the resulting salary increases and uses his or her discretion to adjust any particular professor's increase. This is in accord with the SMTD *Faculty Handbook* ,J4A: "The Executive Committee shall rate each faculty member on the basis of merit. The salary increase will then be determined by the dean based on the merit rating assigned by the Executive Committee."

Recommendation

(5.1} The Merit Review committee recommends that the dean show due deference to the evaluations received from chairs and the Executive Committee; that the dean retain a record of individual adjustments to the salaries for a period of time and in a manner consistent with University standards for records retention; and that any professor whose salary receives such an adjustment be granted, on request, a written record of the amount of the adjustment.

§6 Communication between the Dean and the faculty

Assessment

Each summer, after the final budget has been established for the fiscal year and merit increases have been determined, professors receive letters from the dean announcing their new salaries. The amount of information contained in these letters has varied greatly over time and as deans have changed, and the decision not to retain chairs' reports and Executive Committee ratings has made it difficult, if not impossible, for deans to explain to individual professors why they received the raises they did. This lack of transparency risks denying professors the feedback they need to improve their work, while also depressing morale among the faculty.

Recommendations

The Merit Review committee recommends the following:

(6.1} that the annual letters to the faculty state the size of the allocation for merit increases, expressed as a percentage of the total faculty salaries and as a total dollar amount, the size of the share unit u , each professor's individual rating, and the size of the merit increase, expressed as a dollar amount;

(6.2} that the chairs' reports ~~be retained and copies made available~~ be confidential and advisory in the manner proposed under §2 above;

(6.3} that the Executive Committee ratings be retained and copies made available in the manner proposed under §3 above;

(6.4} that the dean preserve a record of decisions affecting a professor's annual evaluation or merit increase in the manner proposed under §5 above.

§7 Summary

The Merit Review committee believes that the recommendations offered here will promote fairness and transparency.

Fairness is hard to achieve in a school where a great diversity of teaching, creative work, and service is performed by the faculty; but the committee considers a system reasonably fair when work performed by professors in different departments, at different ranks, and in different career stages is rewarded equally if deemed equally meritorious. This method seems more equitable than the current one in which professors and departments compete with each other for salary increases and raises for professors with lower salaries are often only a small fraction of those for their better-compensated colleagues.

The proposals here aim to improve transparency by simplifying the system of review, communicating more explicitly the process by which merit increases are figured, and retaining for review much of the information relevant to the annual performance evaluations.

The committee hopes that whatever effects the proposed revisions may have on individual professors, the faculty will consider these revisions in the best interest of the School of Music, Theatre & Dance as a whole, and that revisions to the *Faculty Handbook* will be undertaken to bring official school policies into line with these recommendations.

The committee hopes further that the recommendations offered here, though concerned with merit review rather than equity among base salaries, will become a useful step toward a thoroughgoing assessment of salary equity within the School of Music, Theatre & Dance, and that the SMTD governing faculty and administration will develop a plan for addressing salary equity soon after the adoption of these recommendations.

Respectfully submitted,

Danielle Belen {fall 2017 through fall 2018), Associate Professor of Music, Violin

Jose Casas, Assistant Professor of Theatre & Drama, Playwriting

Colleen Conway, Professor of Music Education

Christopher Harding, Associate Professor and Chair of Piano Kristin Kuster, Professor and Chair of Composition

John Pasquale, Director of the Michigan Marching and Athletic Bands, Associate Director of Bands, and Donald R. Shepherd Clinical Associate Professor of Conducting

Wayne Petty, Associate Professor and Chair of Music Theory, Chair of the Merit Review committee

Amy Porter, Professor of Flute

Daniel Washington, Professor of Voice Robin Wilson, Associate Professor of Dance

With input from Robert Najarian, former Assistant Professor of Theatre & Drama, Acting

ATTACHMENT A
Faculty Activities Report

UNIVERSITY OF MICHIGAN
School of Music, Theatre & Dance
Ann Arbor, Michigan 48109-2085

I. FACULTY ACTIVITIES REPORT

For the Calendar Year January 1 through December 31, 2022

Faculty Member's Name:

Faculty Member's Current Rank:

Faculty Member's Track (clinical, tenure-track, tenured):

Faculty Member's Department:

Time Spent Teaching (Indicate all that apply):

Full Academic Year

Partial Academic Year (note how many months):

A. Instructions

Each member of the faculty, *including Department Chairs*, of the School of Music, Theatre & Dance are asked to submit this report each year. ***Faculty who are being considered for Promotion & Tenure will be exempt from completing a FAR in the year of review.*** The information provided will be used by the Executive Committee in its annual merit evaluation of faculty and will serve as the basis for determining your salary increase for next year. ***Faculty who do not submit a FAR (except in the cases of P&T and medical leaves), will not be considered for a merit increase.*** Please be certain that the information is as complete as possible.

Include activities projected for that portion of the calendar year following submission of the report. Attach additional sheets as needed. In section B include activities in progress and describe specifically the progress that was made during the current year. Note that no faculty member is expected to engage in all of the activities listed under any category. Include also any relevant information not specifically requested.

In reviewing and summarizing the contributions of each faculty member the various activities are normally weighted by the Executive Committee as follows: teaching 50%, professional activities 40%, and service 10%. The weightings may be adjusted within the following limits when it is advantageous to the faculty member: teaching 40% to 60%, professional activities 30% to 50%, service 0% to 20%. Any faculty member may submit a written request to the dean that his or her teaching be weighted still more heavily. Weightings may be adjusted still further with the approval of the department chair and dean, especially in years where expectations in one area are especially high, and such adjustments encouraged for clinical-track faculty whose duties may carry the expectation of particular kinds of effort. The quantity and quality of the students recruited to the School by the faculty member, when identifiable, will be given special consideration under the category of teaching. The Executive Committee would especially welcome any documentation of teaching success deemed relevant by colleagues completing this form.

Because the contributions of our faculty are so extensive and so varied, it is sometimes difficult to know how to classify certain activities. For example, off-campus activities falling under item B.5 are often useful in recruiting students and could be listed under item A.6. The choice of where to list an activity should be made on the basis of what you consider to be its major purpose or effect. There is no "right" answer. The difference between items A.6 and C.5 with respect to recruiting is that the former refers to activities to recruit to your own studio or program while the latter refers to activities to assist the School as a whole. In item C.2 you need not list activities that can be inferred from your position or title, though particularly important activities may be pointed out. No activity should be listed more than once, except in the case of activities that promote diversity, equity, or inclusion.

In all cases, faculty are encouraged to elaborate in narrative form on the activities listed in this report, whether to provide significant detail, context, or other pertinent information. Adopting a narrative-only approach is also allowed.

In order to foster a rich sense of diversity, inclusive of a full and honest exchange of ideas that are beneficial to both teaching, research, and service; please indicate activities undertaken during the last calendar year related to diversity, equity, or inclusion (DEI) within SMTD or the discipline. Reflect on all your past teaching, service, and creative/professional/research activities from the perspective that many of your regular practices and pursuits may have promoted inclusion and equity. In particular, describe how you have pursued diversity, equity, or inclusion in innovative ways or in areas of focus different from what you have previously been engaged.

The following are general examples of activities related to DEI:

- Teaching activity directed at facilitating the free exchange of ideas and opinions in the classroom
- Fostering an awareness of the critical role of diversity in the pursuit of learning and education
- Participating in or arranging specific trainings, discussions, and workshops
- Engaging in professional and research activities pertaining to or supporting DEI
- Performing or teaching new or non-traditional repertoire or curriculum
- Serving on boards and participating in events focused on issues of DEI
- Collaborating with faculty or students to broaden the scope of projects to new audience or focus.

Genuine effort should be made to document DEI activities through the year for reporting purposes.

Please e-mail your report to Tina Sedgeman (tsedge@umich.edu) no later than Wednesday, January 4, 2023.

Signature.....

Date Submitted.....

Revised 11/19

A. Teaching

1. List the courses taught by course number or name of ensemble (except applied music courses); indicate the credit hours of each course and the number of students enrolled.
2. List the number of hours of private studio instruction per week, by term, and the number of studio classes per term.
3. List student recitals and performances supervised; give the names of the students.
4. List doctoral examinations participated in by name of the student; specify the type of exam.
5. List theses and dissertations supervised by name of enrolled student (indicate if you are/were the chair).
6. List activities undertaken to recruit talented students at both the undergraduate and graduate level.
7. List positions held by recent former students and awards and honors achieved by former students not previously reported, insofar as you have knowledge of them.
8. List instances of providing your professional abilities and expertise on behalf of community education in the performing arts including your participation in MPulse, Michigan Youth, summer workshops, and PPLP.
9. Describe any teaching activities undertaken during the last year that have contributed to the pursuit of diversity, equity, and inclusion within SMTD, such as any activity directed at facilitating the free exchange of ideas and opinions in the classroom, at making all students feel welcome and valuable to classroom climate, or at fostering an awareness of the critical role of diversity in the pursuit of learning and education. If applicable, list any workshops in any of these areas that you may have attended. You may include the teaching activities provided in your answers to the above questions.

B. Creative and Professional Activities and Research

1. List the one or two professional achievements or activities during the year that you consider most significant (these need not be cited again elsewhere).
2. List publications (indicate by * items that were subject to substantial peer review prior to publication).
3. List prizes, awards, fellowships, grants, commissions, or other recognition received.
4. List research projects; list grants from University or non-University sources for research or development or for instructional or program improvement.
5. List appearances or activities off-campus or on-campus as a speaker, conductor, soloist, ensemble member, adjudicator, actor, director, designer, panelist, clinician, consultant, director of a workshop or institute, or chair of a session at a professional meeting; list performances of your compositions or arrangements; list recordings you have made or recordings of your works; list other forms of recognition unique to your field of specialization.
6. Describe any creative and professional activities, undertaken during the last year that you regard as contributing to the pursuit of diversity of any kind in your field of expertise (performative, ideological, methodological, etc.). These may include collaborative and interdisciplinary projects, performances and publications that position themselves to create common ground among different perspectives. You may include the creative/professional/research activities provided in your answers to the above questions.

C. Service

1. Indicate the number of students advised.
2. List by name any School of Music, Theatre & Dance faculty members for whom you are serving as official mentor, and describe the extent of the assistance you have provided.
3. Indicate service as department chair or division head; list other administrative duties or leadership initiatives on behalf of the School including participation in examinations for students outside your department.
4. List service on committees of the School, your department, or the University (indicate if chair) and participation in meetings and other official activities of the School and its departments beyond routine department and School faculty meetings.
5. List service in elective or appointive leadership roles in professional associations at the national, international, regional, state, or local levels.
6. List non-routine contributions to recruiting, fund-raising, or public relations efforts on behalf of the School or the University not listed elsewhere.
7. List instances of your contributing your expertise without compensation or with nominal compensation in service of government agencies, citizens' groups, educational or religious institutions, or charitable organizations at the local, state, national or international levels.
8. List service activities performed specifically for or within the state of Michigan.
9. Describe any activities undertaken during the last year aimed at fostering diversity, equity, or inclusion within SMTD or other group/organization at any level of society, including activities that have led to exchanges with persons or groups from various walks of life, beliefs, values, and social conditions. You may include the service activities provided in your answers to the above questions.

ATTACHMENT B
Chair's Annual Assessment of the Faculty

**The University of Michigan
School of Music, Theatre & Dance**

Chair's Annual Assessment of Faculty - 2022

Faculty Member:

Department:

Chair:

Date:

On what basis have you compiled this assessment? (Please check the boxes that apply.)

1. I have read student evaluations	
2. I have observed in the classroom	
3. I have observed in the studio	
4. I have observed in rehearsal	
5. I have observed performances and/or presentations	
6. I have listened to recordings	
7. I have reviewed publications	
8. I have reviewed the Faculty Activities Report	
9. Other: (e.g. student performances or presentations)	

Teaching

	1—Needs improvement	2—Good	3—Exceptional
1. Effectiveness in teaching less advanced students			
2. Effectiveness in teaching more advanced students			

	1—Needs improvement	2—Good	3— Exceptional
3. Effectiveness in recruiting talented students			
4. Depth of knowledge of the subject matter taught			
5. Currency of the subject matter taught			
6. Response of students to the faculty member			
7. Teaching load in comparison to others in the department			
8. Effectiveness in mentoring students			

Strengths as a teacher:	
Weaknesses as a teacher:	
Suggested overall rating in teaching (circle one):	<div>1</div> <div>2</div> <div>3</div>

Creative and Professional Activities and Research

	1—Needs improvement	2—Good	3— Exceptional
1. Relative importance of the locations, journals, sponsoring organizations, etc., of his/her professional activities			
2. Quality of his/her contributions as distinguished from quantity			
3. Impact of his/her professional activities on his/her field at large			
4. Respect in which he/she is held by peers and leaders in his/her field			

What were the greatest professional contributions of this faculty member to his/her field this year?	
In what respects would a change of direction or emphasis be helpful with respect to this faculty member's professional activities?	
Suggested overall rating in creative and professional activities and research (circle one):	1 2 3

Service

	1—Needs improvement	2—Good	3— Exceptional
1. Effectiveness in advising students			
2. Quality of contributions to the department			
3. Quality of contributions as a member of SMTD			
4. Quality of contributions to the University			
5. Quality of contributions to the professional discipline			

What were the most important service contributions of this faculty member?	
In what ways could the service contributions of this faculty member be more effective?	
Does this person effectively and collegially contribute to the mission of the department?	
Suggested overall rating in service (circle one):	1 2 3

Please provide additional comments on an attached sheet.

Draft Revision (2) 2/19

ATTACHMENT C
Executive Committee Annual Assessment of Faculty

**The University of Michigan School of Music, Theatre & Dance
EXECUTIVE COMMITTEE ANNUAL ASSESSMENT OF FACULTY—2021**

Please see the SMTD Guidelines on Merit from the Faculty Handbook, pages 51-52, and Appendix 0, pages 241-261

		Ratings			Enter Rating	Comments: attach a comment to each rating of "1: needs improvement" and "3: exceptional" to explain the basis for the rating;
Name	Criterion	Needs improvement	Good	Exceptional	1, 2, or 3	
	Teaching	1	2	3		
	Prof Activ	1	2	3		
	Service	1	2	3		
	Teaching	1	2	3		
	Prof Activ	1	2	3		
	Service	1	2	3		
	Teaching	1	2	3		
	Prof Activ	1	2	3		
	Service	1	2	3		
	Teaching	1	2	3		
	Prof Activ	1	2	3		
	Service	1	2	3		
	Teaching	1	2	3		
	Prof Activ	1	2	3		
	Service	1	2	3		
	Teaching	1	2	3		
	Prof Activ	1	2	3		
	Service	1	2	3		
	Teaching	1	2	3		
	Prof Activ	1	2	3		
	Service	1	2	3		
	Teaching	1	2	3		
	Prof Activ	1	2	3		
	Service	1	2	3		
	Teaching	1	2	3		
	Prof Activ	1	2	3		
	Service	1	2	3		

Print Name _____ Signature _____ Date _____

Draft Revision (3) 11/20

APPENDIX P

LEO FACULTY REVIEWS

THE UNIVERSITY OF MICHIGAN
School of Music, Theatre & Dance
Ann Arbor, Michigan 48109-2085

Interim Review Guidelines **LEO Lecturers I and III**

Pursuant to Article XIX.C of the UM/LEO Agreement, the Interim Review is for Lecturers following their initial appointment as Lecturer I or III and is conducted no later than the end of the fifth semester.

- The interim review will be based on:
 1. Updated CV,
 2. Annual reports (FARs); and any written feedback to those reports;
 3. Evidence of teaching performance; (may include course materials such as syllabi, assignments, study guides, related materials);
 4. Student evaluations; U-M administered course evaluations with student comments and the Lecturer's response to these evaluations, if any;
 5. Review of applicable administration and/or service duties, if any;
 6. Any feedback provided to the Lecturer about their performance during the term of the Lecturer's current appointment;
 7. Solicited letters of evaluation from the Governing Faculty of the Lecturer's home department(s) or program(s);
- Classroom observation is encouraged and recommended. Observations may be conducted by the department chair or program director, or by a member of the Governing Faculty who is designated by the department chair or program director. The requirements for this observation are as follows:
 1. The observation must be coordinated with the Lecturer in advance. The observer will contact the Lecturer to schedule the observation.
 2. If the observation will be videotaped/recorded, the Lecturer, faculty, and students will be given one week's advance notice.
 3. Prior to the observation, the Lecturer may provide the observer with the framework, plan, and intent of the class. Lecturer and observer are encouraged to meet before the observation to discuss goals, expectations, and process.
 4. The observation must be for a full class period unless otherwise agreed by the observer and lecturer in advance.
 5. A written report of the classroom observation will be prepared by the department chair or program director. The department chair or program director will provide a copy of the report to the Lecturer within 10 calendar days of the observation.
 6. If the department chair designates an observer, the observer must submit a written report to the department chair, to be included in the

evaluation. The department chair will provide a copy of the report to the Lecturer within 15 calendar days of the observation.

7. The Lecturer may provide a written response to the report within 10 calendar days to give additional information or reflections about the class that was observed. It is encouraged that the Lecturer and observer meet for a summary discussion following the classroom observation.

The Lecturer will be notified of the names of those sitting on the Executive Committee who will be reviewing their materials.

- The Executive Committee will review the materials listed above using the following general criteria in regards to the Lecturer's Interim Review:
 1. Command of the subject matter;
 2. Ability to organize material and convey it effectively to students;
 3. Successful design and/or planning of courses and course materials;
 4. Ability to communicate and achieve appropriate student learning goals;
 5. Effective interaction with students;
 6. Growth in the subject field and in teaching methods;
 7. Performance of required non-instructional duties where applicable.

Following the review, the Lecturer will receive written feedback from the Associate Dean for Graduate Studies, on behalf of the Executive Committee, no later than March 31 of the year in which the review occurs.

- It is the expectation that the Lecturer will utilize the written feedback in preparation for continued improvement for the Lecturer's Major Review.
- The Lecturer may request to meet with their Department Chair or designee to discuss identified areas in need of improvement.
- The written feedback provided to the Lecturer, as well as any employee response or unit clarification, will be considered during the Lecturer's subsequent major review.

For more information, please consult the UM/LEO Agreement.

(Revised – April 2022, Effective Academic Year 2022-2023)

THE UNIVERSITY OF MICHIGAN

School of Music, Theatre & Dance

Ann Arbor, Michigan 48109-2085

Major Review Guidelines LEO Lecturers I, II, III & IV

Pursuant to Article XIX.D of the UM/LEO Agreement, the standards for reappointment involving major reviews as defined in the LEO contract will be set by each academic unit. As part of the major review process, SMTD expects its Lecturers to provide evidence of high quality instruction that fosters students' intellectual development and to contribute to the overall teaching mission of the school. All major reviews shall be conducted by the SMTD Executive Committee who will review, evaluate and make recommendations to the Lecturer's department chair. A thorough assessment of review materials will be conducted and a written summary of the evaluation will be provided to the Lecturer and placed in the Lecturer's personnel file.

Lecturer I - The Lecturer I is eligible for initial major review after working eight consecutive fall and winter semesters or at least eight of the last ten fall and winter semesters, whichever comes first. Successful completion of the initial major review shall create a presumption of renewal and a three-year appointment in the Lecturer II title.

Lecturer II - The second major review is performed in the final year of appointment. The second major review for renewal shall be completed and decisions announced prior to April 1 for renewal in the following September. Successful completion of the Lecturer's second major review shall result in renewal for an additional five academic years. Following this review, Lecturers will undergo Continuing Renewal Reviews for the remaining duration of their appointment with SMTD.

Lecturer III - Lecturer IIIs who have undergone a successful interim review and have held appointment for up to but no more than four academic years shall undergo an initial major review. This initial major review and decision will take place during the last year of employment in the Lecturer III title. Successful completion of the initial major review shall create a presumption of renewal and an appointment in the Lecturer IV title for a period of three years.

Lecturer IV - The second major review is performed during the final year of appointment as a Lecturer IV. A successful completion of the second major review shall result in renewal for an additional five academic years. Following this review, Lecturers will undergo Continuing Renewal Reviews for the remaining duration of their appointment with SMTD.

- Major review items should include:
 - 1 . Updated CV;
 - 2 . Annual reports (FARs) and any written feedback to those reports;
 - 3 . Evidence of teaching performance; (may include course materials such as syllabi, assignments, study guides, related materials);
 - 4 . Student evaluations, U-M administered course evaluations with student comments and the Lecturer's response to these evaluations, if any;
 - 5 . Review of applicable administrative and/or service duties, if any;

6. Any feedback provided to the Lecturer as part of a review process (including interim reviews if applicable);
 7. Solicited letters of evaluation from the Governing Faculty in the Lecturer's home department(s) or program(s);
 8. A brief statement that reflects on the Lecturer's performance during the term of the current appointment including growth in pedagogy, teaching, service (at the rank of Lecturer III/IV), outlining challenges and triumphs, and, most importantly, future directions, including a discussion of plans and resources that reflects on the Lecturer's performance during the term of the appointment.
- Classroom observation is encouraged and recommended. Observations may be conducted by the department chair or program director, or by a member of the Governing Faculty who is designated by the department chair or program director. The requirements for this observation are as follows:
 1. The observation must be coordinated with the Lecturer in advance. The observer will contact the Lecturer to schedule the observation.
 2. If the observation will be videotaped/recorded, the Lecturer, faculty, and students will be given one week's advance notice.
 3. Prior to the observation, the Lecturer may provide the observer with the framework, plan, and intent of the class. Lecturer and observer are encouraged to meet before the observation to discuss goals, expectations, and process.
 4. The observation must be for a full class period unless otherwise agreed by the observer and lecturer in advance.
 5. A written report of the classroom observation will be prepared by the department chair or program director. The department chair or program director will provide a copy of the report to the Lecturer within 10 calendar days of the observation.
 6. If the department chair designates an observer, the observer must submit a written report to the department chair, to be included in the evaluation. The department chair will provide a copy of the report to the Lecturer within 15 calendar days of the observation.
 7. The Lecturer may provide a written response to the report within 10 calendar days to give additional information or reflections about the class that was observed. It is encouraged that the Lecturer and observer meet for a summary discussion following the classroom observation.

The Lecturer will be notified of the names of those sitting on the Executive Committee who will be reviewing their materials.

- The Executive Committee will review the materials listed above using the following general criteria in regards to the Lecturer's Major Review:
 1. Command of the subject matter;
 2. Ability to organize material and convey it effectively to students;
 3. Successful design and/or planning of courses and course materials;
 4. Ability to communicate and achieve appropriate student learning goals;
 5. Effective interaction with students;
 6. Growth in the subject field and in teaching methods;
 7. Performance of required non-instructional duties where applicable.

Please see Article XI of the UM/LEO Agreement for possible outcomes of a Major Review.

- Following the review, and no later than March 31 of the year in which the review occurs, the Lecturer will receive written feedback from the Associate Dean for Graduate Studies, on behalf of the Executive Committee.

For more information, please consult the UM/LEO Agreement.

(Revised – April 2022, Effective Academic Year 2022-2023)

THE UNIVERSITY OF MICHIGAN
School of Music, Theatre & Dance
Ann Arbor, Michigan 48109-2085

Continuing Review Guidelines
LEO Lecturers II and IV

Pursuant to Article XIX.E. of the UM/LEO Agreement, the Continuing Review (CR) is for Lecturers II and IV who have successfully completed two major reviews. The Lecturer shall undergo a CR on a seven-year cycle. A successful CR will result in an ongoing appointment contingent upon a successful CR every 7 years. The CR will be conducted to advance the professional growth of the Lecturer.

- The CR will be based on materials that have been collected during the term of the Lecturer's current appointment. These materials will include the following:
 1. Updated CV;
 2. Annual reports (FARs) and any written feedback to those reports;
 3. Evidence of teaching performance; (may include course materials such as syllabi, assignments, study guides, related materials);
 4. Student evaluations, U-M administered course evaluations with student comments and the Lecturer's response to these evaluations, if any;
 5. Review of applicable administrative and/or service duties, if any;
 6. Any feedback provided to the Lecturer about their performance during the term of the Lecturer's current appointment;
 7. Solicited letters of evaluation from the Governing Faculty of the Lecturer's home department(s) or program(s);
 8. A brief statement that reflects on the Lecturer's performance during the term of the current appointment including growth in pedagogy, teaching, service (at the rank of Lecturer IV), outlining challenges and triumphs, and, most importantly, future directions, including a discussion of plans and resources.

The Lecturer will be notified of the names of those sitting on the Executive Committee who will be reviewing their materials.

- The Executive Committee will review the materials listed above using the following general criteria in regards to the Lecturer's Continuing Review:
 1. Command of the subject matter
 2. Ability to organize material and convey it effectively to students;
 3. Successful design and/or planning of courses and course materials;
 4. Ability to communicate and achieve appropriate student learning goals;
 5. Effective interaction with students;
 6. Growth in the subject field and in teaching methods;
 7. Performance of required non-instructional duties where applicable

There are two possible outcomes of a CR per Article XIX.E.5-6 of the UM/LEO Agreement:

1. If an Employee's continuing review is successful, the Employee will receive an ongoing appointment subject to continuing reviews every seven years in accordance with Article XI.B.2.f.ii.a. or XI.B.4.d.ii.a., as applicable.
 2. If an Employee's continuing review is not successful, the Employee will be given a one-year terminal appointment, or at the academic unit's discretion, a two-year terminal appointment, at the outset of which a team will be assembled to address the problems identified in the review.
- Following the review, and no later than March 31 of the year the review takes place, the Lecturer will receive a written summary and outcome of the CR from the Associate Dean for Graduate Studies, on behalf of the Executive Committee.

For more information, please consult the UM/LEO Agreement.

(Revised – April 2022, Effective Academic Year 2022-2023)

Teaching Professor Review Guidelines and Criteria; MOU #8

Overview

As outlined in MOU#8, effective September 1, 2022, Lecturers who reach or have reached their first Continuing Review in their appointment will have the ability to elect consideration for a working title of “Teaching Professor.”

A Lecturer who requests consideration for “Teaching Professor” will still be required to meet all of the review criteria for a Continuing Review as outlined in the School of Music, Theatre & Dance (SMTD) faculty handbook, page 245.

Criteria

1. Must be a Lecturer II or IV in good standing and are at or have completed their first Continuing Review.
2. Must be able to demonstrate proficiency and/or excellence in the following areas:
 - I. Growth and advancement of the factual, conceptual, and procedural knowledge relevant to the subject areas in which the Lecturer provides instruction;
 - A. What innovations has the Lecturer made to their teaching method over the years?
 - B. How is this growth demonstrated in the Lecturer’s courses and syllabi?
 - C. Does the Lecturer demonstrate the ability for continued growth and innovation in their knowledge of their subject area?
 - II. Evidence that the Lecturer has evaluated and improved methods of instruction and shows a high teaching standard;
 - A. How has the Lecturer’s theoretical approach to pedagogy grown over the course of their time as an instructor?
 - B. How has the Lecturer’s practical application of the delivery of instruction evolved?
 - C. In what ways does the Lecturer demonstrate that they are attentive to pedagogy and are able to express how they evaluate pedagogy in order to continue to improve?
 - III. Inclusive Teaching: How has the Lecturer worked to incorporate into their instruction inclusive teaching methods and what work have they done in the instructional setting to advance the Diversity, Equity, and Inclusion mission of the University;
 - A. How has the Lecturer contributed to the overall teaching mission of

- the university?
- B. What steps has the Lecturer taken to advance the university's DEI mission?
- C. Can the Lecturer demonstrate how this work has been incorporated into their instruction?
- IV. Peer Review/Support: Provide one letter of support (not to exceed two pages) from a peer demonstrating that the Lecturer meets one or more of the selection criteria;
- V. The Lecturer may provide additional support in the following areas:
 - A. Demonstrated scholarly or creative work within their field and positioned themselves both internally and externally as having a heightened status within their field.
 - B. Participation in activities or programs to advance the mission of the university, support their unit, or improve the culture of the learning environment.
 - C. Participation in curriculum development.
 - D. Improvement, growth, or advancement in their administrative or service duties if such duties are a part of their appointment.

Procedure

For Lecturers undergoing their first Continuing Review:

1. A Lecturer will receive a notice of their upcoming Continuing Review; the Lecturer will have five (5) business days to request, in writing, consideration for the 'Teaching Professor' title.
2. Materials meeting the above stated criteria for the new title must be received by the deadline date which will be indicated in the notice of Continuing Review.
3. Materials will be reviewed by the SMTD Executive Committee.
4. The School will submit recommendations to the Provost for final approval, by the end of October each year.
5. If approved, the Lecturer will be awarded the title of 'Teaching Professor' effective September 1st of the following academic year.
6. Lecturers will be notified of the outcome no later than March 31st of the academic year in which they are reviewed.

The following procedure is for Lecturers who have completed at least one Continuing Review prior to the implementation of MOU#8. SMTD will follow MOU#8, Section C.4 as it relates to notice date, implementation and outcome date notice for those that have passed a Continuing Review.

1. For consideration of the working title "Teaching Professor", Lecturers must indicate their intent to submit materials by August 1, 2022;
2. The Lecturer will be informed of the due date to which materials should be received by August 19, 2022.

3. Materials will be reviewed by the SMTD Executive Committee (EC).
4. Following a successful review by the SMTD EC, the School will recommend a title change to “Teaching Professor”, which requires final approval from the Provost.
5. During the implementation year, the Lecturer will be notified of the outcome no later than June 30, 2023. Following the implementation year, the Lecturer will be notified of the outcome no later than March 31st of the academic year in which they are reviewed.