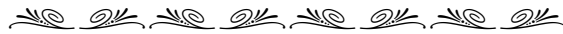
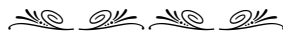


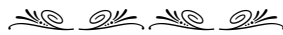
# Fairfield University JOURNAL OF RECORD



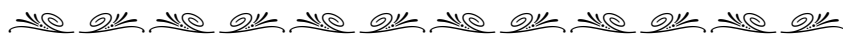
Maintained by the  
Secretary of the General Faculty



Updated through August 2012  
Irene Mulvey, Secretary of the General Faculty



Date printed:	August 31, 2012
Next planned printing:	Summer 2013



Available online at: [www.faculty.fairfield.edu/gfs](http://www.faculty.fairfield.edu/gfs)

Hardcopies of the Journal of Record are available for consultation by any member of the University community in the SVPAA's office, CAS Dean's office, DSB Dean's office, SON Dean's office, SOE Dean's office, GSEAP Dean's office, and with the Secretary of the General Faculty.



# Fairfield University

## JOURNAL OF RECORD

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NOTE: All entries are cross-referenced to the date and method of approval using the following abbreviations:

AC: Approval by vote of the Academic Council

CR: Committee report entered in Journal of Record after appearing twice on Council's agenda without discussion (Note: this procedure was discontinued as of 4/25/88, and all committee reports were thereafter approved by a Council vote indicated by the symbol AC)

GF: Approval by vote of the General Faculty

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The Secretary of the General Faculty makes an effort to group entries in appropriate categories, but an electronic search is recommended.

Available online at [www.faculty.fairfield.edu/gfs](http://www.faculty.fairfield.edu/gfs)



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## 1. The Mission Statement of the University and related items

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### The Mission Statement:

Fairfield University, founded by the Society of Jesus, is a coeducational institution of higher learning whose primary objectives are to develop the creative intellectual potential of its students and to foster in them ethical and religious values and a sense of social responsibility. Jesuit Education, which began in 1547, is committed today to the service of faith, of which the promotion of justice is an absolute requirement.

Fairfield is Catholic in both tradition and spirit. It celebrates the God-given dignity of every human person. As a Catholic university it welcomes those of all beliefs and traditions who share its concerns for scholarship, justice, truth, and freedom, and it values the diversity which their membership brings to the university community.

Fairfield educates its students through a variety of scholarly and professional disciplines. All of its schools share a liberal and humanistic perspective and a commitment to excellence. Fairfield encourages a respect for all the disciplines ~ their similarities, their differences, and their interrelationships. In particular, in its undergraduate schools it provides all students with a broadly based general education curriculum with a special emphasis on the traditional humanities as a complement to the more specialized preparation in disciplines and professions provided by the major programs. Fairfield is also committed to the needs of society for liberally educated professionals. It meets the needs of its students to assume positions in this society through its undergraduate and graduate professional schools and programs.

A Fairfield education is a liberal education, characterized by its breadth and depth. It offers opportunities for individual and common reflection, and it provides training in such essential human skills as analysis, synthesis, and communication. The liberally educated person is able to assimilate and organize facts, to evaluate knowledge, to identify issues, to use appropriate methods of reasoning, and to convey conclusions persuasively in written and spoken word. Equally essential to liberal education is the development of the aesthetic dimension of human nature, the power to imagine, to intuit, to create, and to appreciate. In its fullest sense liberal education initiates students at a mature level into their culture, its past, its present, and its future.

Fairfield recognizes that learning is a life-long process and sees the education which it provides as a foundation upon which its students may continue to build within their chosen areas of scholarly study or professional development. It also seeks to foster in its students a continuing intellectual curiosity and a desire for self-education which will extend to the broad range of areas to which they have been introduced in their studies.

As a community of scholars, Fairfield gladly joins in the broader task of expanding human knowledge and deepening human understanding, and to this end it encourages and supports the scholarly research and artistic production of its faculty and students.

Fairfield has a further obligation to the wider community of which it is a part, to share with its neighbors its resources and its special expertise for the betterment of the community as a whole. Faculty and students are encouraged to participate in the larger community through service and academic activities. But most of all, Fairfield serves the wider community by educating its students to be socially aware and morally responsible persons.

Fairfield University values each of its students as an individual with unique abilities and potentials, and it respects the personal and academic freedom of its members. At the same time it seeks to develop a greater sense of community within itself, a sense that all of its members belong to and are involved in the University, sharing common goals and a common commitment to truth and justice, and manifesting in their lives the common concern for others which is the obligation of all educated, mature human beings.

AC: 04/25/1988

Mission Statement:

The faculty, working collegially with the administration and all relevant parties, will have an essential role in composing and/or revising any future Mission Statement of the University. The text of such a new or revised Mission Statement will be considered for approval by the faculty through its structures of shared governance.

AC: 02/25/1985

AC: 03/07/2011



## 2. Items Related to the Journal of Record

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### Journal of Record:

The *Journal of Record* contains policies that have been approved by the Academic Council of the General Faculty and subsequently approved by the Senior Vice President for Academic Affairs. It is the approval of both the faculty and the administration that makes such agreements policy and therefore qualifies them for inclusion in the *Journal of Record*. These policies remain in place and can only be changed by the mutual agreement of the Academic Council or the General Faculty and the administration.

AC:03/07/2011

### Entry into the Journal of Record:

Committees shall report policy recommendations\* to the Secretary of the General Faculty, and the Executive Secretary of the Academic Council. The Academic Council will discuss and vote on the recommendation in a timely manner. Members of faculty committees need to be mindful that recommendations for inclusion in the Journal of Record must be expressed in the language of policy. The language of motions intended for inclusion in the Journal of Record should not be framed as exhortation, or advice, or as an expression of hopeful outcome. If, after the Academic Council has approved a motion for inclusion in the Journal of Record, the Secretary of the General Faculty determines that the language is not expressed appropriately in the form of policy, the Secretary should return the matter to the Academic Council for review and possible revision. The Faculty Secretary, in consultation with the Executive Committee, may propose a revised text in the form of policy for the Council's consideration.

Any policy approved by the Academic Council will be forwarded to the Senior Vice President for Academic Affairs who shall respond within fifteen calendar days to the Academic Council with either approval or objection. The disposition of the matter shall be reported to the General Faculty through the minutes of the Academic Council. The General Faculty, as in all matters, may address the recommendation in the General Faculty Meeting which immediately follows the Academic Council decision, and may overrule the Council. Once approved the policy will be entered in the Journal of Record by the Secretary of the General Faculty.

\*Committees will not report specific non-policy decisions such as recommendations for promotion or sabbatical.

AC: 03/18/1985  
amended AC: 04/25/1988  
amended AC: 04/04/2011

Only committee policy recommendations, subsequently approved by the Academic Council or the General Faculty, are to be included in the Journal of Record. Any details pertinent to the substance of the policy recommendation should be articulated as part of the recommendation

itself. Supporting materials to the policy should be considered illustrative and not be included in the Journal of Record.

AC: 05/16/1988

Annual Reconciliation of University documents with the Journal of Record:

Policies in University documents (The Undergraduate Catalog, the Graduate Catalogs, The Student Handbook, The Benefit Plans Overview, etc.) must be consistent with policies in the *Journal of Record*. To insure consistency with the *Journal of Record*, drafts of University documents will be shared with the Secretary of the General Faculty in a timely manner prior to publication and any revisions needed to make the documents consistent with the *Journal of Record* will be incorporated prior to publication.

AC: 04/04/2011

### 3. The Core Curriculum and related items

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#### The Core Curriculum:

The goal of a Fairfield education is to develop - in each student - the whole person: an intellectual being who can think clearly, accurately, dispassionately; a social being who cares about others and takes one's place in the world with them; a physical being who knows the laws, limitations, and beauty of the natural world; a spiritual being who seeks to make one's life express the truths of religion and philosophy.

Because Fairfield believes that a liberal education can achieve this goal, the General Faculty has developed a general education core curriculum which all undergraduates must take to acquire a broad background in all academic areas. No matter what the student's major or field of specialization, during the years at Fairfield he or she will take from two to five courses in each of five areas.

Within the framework of these five areas, each student has a number of options so that fulfilling the requirement can become a stimulating and enjoyable experience while providing the breadth of knowledge necessary for further studies, and for life as a well-educated human being.

#### Options within the Core Curriculum:

##### Area I: Mathematics and Natural Sciences

- (1) 2 semesters of mathematics. At least one semester must include a course containing some calculus (MA 10, 19, 21, 25, or 171). A sophomore or upper division course may be used with the approval of the department.
- (2) 2 semesters of a natural science. Any two courses in any of the natural sciences fulfill this requirement.

##### Area II: History and Social Sciences

- (1) 2 semesters of history. Hi 30 and one intermediate level course. Also available as an option in this area is CL 115-116 (Greek and Roman Civilization).
- (2) 2 semesters in one or two of the social sciences.

##### Area III: Philosophy and Religious Studies

- (1) 2 semesters of philosophy. PH 101 is required.
- (2) 2 semesters of religious studies. RS 10 is required.

(3) 1 additional course in either philosophy, religious studies, or applied ethics.

#### Area IV: English and Fine Arts

(1) 3 semesters of English. EN 11-12 are required. The third course may be selected from any of the English literature offerings which have a number designation of 200 or over. Writing courses (EN/W) do not fulfill the core literature requirement. Also available as options in this area are courses offering classical literature in translation. (See listings under Greek and Roman Studies.)

(2) 2 semesters of fine arts. One semester must be in the area of art history, music history, theater history, or film history.

#### Area V: Modern and Classical Languages

(1) 2 semesters (at least at the intermediate level) of any language listed among the offerings of the Modern Languages Department or the Greek and Roman Studies Program.

CR: 11/02/1987  
amended AC: 04/10/2006  
amended AC: 03/07/2011  
amended AC: 03/05/2012

#### Nursing Core Requirement:

Nursing students must complete the core curriculum that is required of all Fairfield undergraduates with one exception. Nursing students enroll in either the two semesters of foreign language or the two semesters of fine arts.

AC: 12/04/1989

#### Dolan School of Business Core Requirement:

For students in the Charles F. Dolan School of Business, Area V of the core requirements is two semesters of the same language at any level.

AC: 04/02/2012

#### Core Courses for Undergraduate Students with Minor in Education:

Educational Psychology (ED 241) may serve as one of the two core courses in the Behavioral and Social Sciences for students seeking to complete the undergraduate education minor.

AC: 04/10/2001

#### Restrictions on Courses in Area III of the Core:

It would be understood with regard to Area III of the core curriculum as described above that no course could be accepted for core credit unless:

- a. In III (1), it was specifically approved by the Philosophy Department.
- b. In III (2), it was specifically approved by the Religious Studies Department.
- c. In III (3), it was approved either by the Religious Studies Department or by the Philosophy Department.

CR: 11/02/1987

Undergraduate Curriculum:

To the extent possible and appropriate, departments and schools offering courses in the core should provide as many options as possible, consistent with fulfilling their academic responsibilities within the core program. It is the function of the individual department or school to determine how this can best be done, subject to ratification by the general faculty. Any revisions in this approach (e.g., change in distribution between requirements and options) must be submitted to the UCC for its recommendations and subsequent submission to the general faculty for final approval.

Some departments or schools may require their majors to select specific options within the core offerings, which are more valuable to their particular program.

GF: 03/19/1970  
amended CR: 04/20/1987  
amended AC: 03/06/2011

American Diversity Requirement:

1. All undergraduate students beginning with the incoming 1995 class (class of 1999) will be required to take one course, which focuses on diversity and pluralism in American society.
2. Students will choose their course from a list of previously approved courses.
3. This new requirement will not increase the size of the present core, but a course taken as part of a student's major, or as an elective may be double counted to fulfill this requirement.

GF: 02/03/1995  
AC: 03/07/2011

Criteria and Guidelines for Listing as an American Diversity Course:

I. Criteria

In order to help students to develop a critical consciousness of self and society the required diversity courses/course sections will explore in a systematic manner connections among race, class, and gender in looking at issues of privilege and differences in U.S. society. These courses/course sections may also consider additional issues, such as religion, sexual orientation, and ethnicity.

II. Guidelines

The reviewing committee must be receptive to the unique approach of each instructor and the manner in which he/she involves diversity principles in his/her courses/course sections.

Although diversity components are encouraged in all courses/course sections, introductory courses, by their general nature, will normally not fulfill this requirement, but are not precluded from being approved.

Depending on their subject area or disciplinary field, the courses might include:

- A. An interdisciplinary theoretical approach to the material;
- B. Study of the various and possibly conflicting ways difference has been understood and represented;
- C. Use of primary sources of a personal and experiential nature, such as memoirs and autobiography, which give voice to a multiplicity of perspectives and points of view.

GF: 11/17/1995

World Diversity Requirement:

Students at Fairfield will take one course that focuses on a non-Western culture or society, exclusive of Europe, and the United States, and their literary, artistic, musical, religious, philosophical, political, economic, or scientific traditions. Though courses primarily emphasizing North American and European topics will NOT count toward this requirement, courses focusing on Native American, Russian, and pre-Columbian or Latin American cultures CAN meet the requirement. Core language courses do not meet this requirement while literature and culture courses may satisfy this requirement. Moreover, such a course will NOT emphasize international relations or business relations vis-à-vis Europe or the United States. A study abroad experience may satisfy this requirement if it meets with the spirit and letter of this proposed mission statement. A similar mechanism as was used for the USA diversity requirement will be used for the approval of courses, and implementation of this World Diversity requirement.

It was determined that this requirement would apply first to the class entering in September 1999, i.e. the class of 2003.

GF: 04/17/1998

#### 4. Items related to Governance, the General Faculty, and General Faculty Meetings

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##### Observers at General Faculty Meetings:

Individual members or representatives of specific groups from the University community may be admitted to meetings of the General Faculty by presenting a request for admittance to the Chairman of the meeting and upon approval of the General Faculty by a majority vote of those present and voting.

GF: 10/20/1970

##### General Faculty Minutes:

That minutes of the General Faculty be available upon demand, to any member of the University Community five working days after the meeting.

GF: 10/20/1970  
amended AC:04/22/1985





## 5. Items related to the Academic Council

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### Communications to the Academic Council:

That the gist of all communications to the Academic Council be published in the Council minutes.

AC: 01/22/1968

### Academic Council and the Interpretation of Governance Documents:

When there is a conflict among faculty, or within a school, academic department, or curriculum area about the proper meaning of the Faculty Handbook or a school's Governance Document, the relevant parties should seek a resolution by petitioning the Academic Council for its interpretation of the disputed text.

AC: 03/14/1973

AC: 02/25/1985

AC: 03/07/2011

### Academic Council Summer Meetings:

The Academic Council provides the faculty, through its elected representatives, with the opportunity to make recommendations and decisions concerning the welfare of the University. The regular academic year should normally provide ample opportunity for the exercise of this right and duty, but there may be unusual circumstances arising during the summer months, which would demand the professional judgment of the faculty. In such case(s), the following procedures will be followed:

- a. Before the last scheduled faculty meeting, the Academic Council will select dates for two provisional meetings.
- b. The Chairperson and Executive Secretary of the Academic Council will decide whether meetings will occur on the provisional dates; this would be done one week prior to that date and the Council will be so informed by the Executive Secretary.
- c. Any member of the Council who will be unable to attend a summer meeting will inform the Faculty Secretary, who will arrange for the election of a summer replacement.
- d. In order to compensate for possible low attendance and for the difficulty in faculty members' circulating petitions appealing a decision of the Academic Council to the General Faculty (Handbook I.B.4), a two-thirds vote of those present shall be necessary for all decisions at such summer meetings.

AC: 11/29/1977

amended AC: 04/22/1985

Selection of Honorary Degree Candidates:

Moved to form a permanent, annually elected, three-person Academic Council subcommittee to consider and advise on the matter of selecting honorary degree candidates.

AC: 10/11/1979

Pursuant to the Handbook's mandate (section 1.B.3.c) that the Academic Council is "to consider and advise on the granting of all honorary degrees," and because the process of choosing candidates for honorary degrees has been in accord with the openness appropriate to the University, the Academic Council takes its mandate seriously and gives the following recommendations to the faculty members on the Honorary Degree Committee:

1. To be mindful of the importance and significance of honorary degrees, and to feel themselves under no compulsion to recommend candidates for such degrees if only candidates of insufficient stature are available.
2. To make certain that the achievements of those recommended for honorary degrees are in accord with the values represented by the Mission Statement of the University.
3. To recommend, among others, candidates who have or have had some previous relationship with the University, that relationship to be broadly construed.
4. To take care that there can be no inference that candidates have been recommended solely because of a connection with fund-raising or public relations.

AC: 10/03/1988

Student Representatives at Academic Council Meetings:

That the Academic Council invite a representative from Student Government to attend meetings of the Academic Council and to contribute to Council discussions when invited to do so.

AC: 03/01/1984

Conference with the Board of Trustees:

That the Academic Council make note of the times the Board of Trustees meets and insure proper preparation for discussion of faculty views at meetings between the Committee for Conference with the Board of Trustees and the Academic Affairs Committee of the Board of Trustees.

AC: 12/13/1984

Academic Council and the Trustees:

The Academic Council will, on a regular basis, share a summary of matters discussed at Council meetings with the Chair of the Committee on Conference with the Board of Trustees

AC: 11/07/1994

## 6. Items related to The Faculty Handbook

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### Handbook Amendments and the Trustees:

General Faculty support of a proposed Handbook amendment should be reported to the faculty Committee for Conference with the Trustees, which meets with the Trustees through the Board's Academic Affairs Committee.

AC: 03/18/1985



## 7. Items related to Committees of the General Faculty

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### Faculty Committee Organizational Meeting:

In September, the Secretary of the General Faculty will send each outgoing *Handbook* committee chair an updated committee roster and instruct the outgoing chair to call an organizational meeting of the committee, and to see to the election of a new chair.

AC: 01/20/1977

Amended AC: 04/04/2011

### Election of Committee Chairpersons:

Chairpersons of faculty committees will be elected at the first meeting of committees at the start of the academic year.

AC: 09/23/1985

### Use of Proxies in Faculty Committees:

That proxies not be allowed at meetings of faculty committees.

AC: 02/13/1984

### Vacancies on Faculty Committees:

That when a vacancy occurs on any committee, panel or other body within the University upon which a faculty member serves on behalf of the faculty, the Faculty Secretary shall publicize the existence of the vacancy, seeking to learn all faculty members who are willing to serve on the committee, panel, etc., and to forward this list to the faculty body responsible for the election.

GF: 05/09/1974

### Committee Membership and Sabbaticals:

That a faculty member on sabbatical remain a member of a committee in which he/she serves, provided he/she is able and willing to do so.

AC: 11/28/1983

### Number of Committees on Which a Faculty Member May Serve:

That the Academic Council interpret section I.C.a.5 of the Handbook to allow its members to serve on two committees in addition to the Academic Council.

AC: 02/25/1976

### Committee Elections and Willingness to Serve:

That no faculty member who is absent from the election meeting can be nominated for a committee unless he has indicated in writing that he is both willing and eligible to serve on the committee for which he is nominated.

AC: 02/25/1976

Reelection to Committees and Partial Terms:

A person who has served a full term on a committee can be reelected to a partial term.

AC: 09/14/1992

Guidelines for Annual Committee Reports:

Annual committee reports are to include the following items:

1. name of committee chairperson
2. committee membership
3. number of meetings attended by each committee member
4. dates of meetings
5. list of principal topics considered by the committee
6. list of the decisions taken by the committee
7. anticipated effects of these decisions
8. unfinished business
9. future agenda items

AC: 02/28/1985

amended CR: 02/09/1987

Procedures for Removal of Committee Members for Nonfeasance:

1. if a committee member misses three consecutive meetings, the committee chairperson should contact the member to find out whether the absences were allowable under section I.C.b.1.vi of the Faculty Handbook;
2. if the chairperson judges that the absences were not allowable, he/she should report this judgment to the Committee on Committees;
3. upon receipt of the chairperson's report the Committee on Committees will review the facts and take appropriate action.

AC: 02/25/1985

Observers at Committee/Council Meetings:

The Academic Council and all faculty committees which invite observers to their meetings should vote annually whether to renew their invitations.

AC: 03/01/1984

Policy on Open Meetings:

That the Academic Council affirm the principles of making meetings of deliberative bodies and councils as open as possible to all members of the University Community, to the extent that logistics and time and space allow.

AC: 04/09/1984

Purview of the Undergraduate Curriculum Committee:

The Academic Council approves of these items (viz. policy on withdrawals from courses, policy on audits, an examination of the norms for Dean's list, Honors, etc. and the possibility of determining them on a more equitable basis than QPA) as part of the jurisdiction of the Undergraduate Curriculum Committee.

AC: 11/18/1970

Amended AC: 04/10/2001

Deans at Undergraduate Curriculum Committee Meetings:

The Dean of the school initially decides whether an issue on the agenda is in his/her interest and attends such meetings as these issues are discussed.

The Chair of the Committee has the power to rule any member of the committee, Dean or otherwise, out of order on any specific discussion.

The Academic Council would arbitrate disagreements should they arise.

AC: 12/07/1992

Deans' Representatives on Undergraduate Curriculum Committee:

The Deans of all undergraduate schools are allowed to send a representative to meetings of the Undergraduate Curriculum Committee which they will not be able to attend.

CR: 11/03/1987

Guidelines for UCC Advisory Committees:

The UCC Advisory Committees (e.g., Core Sciences Review Committee, World Diversity Committee, US Diversity Committee) analyze courses to determine that they meet the criteria for core requirements. In carrying out its oversight role, the UCC directs these committees to provide minutes of their meetings that include:

- a. Information on when it met and who attended,
  - b. The title, catalog number and catalog description of any course under consideration,
  - c. The committee's recommendation on whether the course meets the specifications for core credit in the area under the committee's purview,
  - d. Enough of a discussion of the course so that the UCC understands the basis for the recommendation. Please frame such a discussion around the criteria approved for your committee.
1. If a subcommittee recommends approval of a course for core credit, the subcommittee will inform the UCC of its action and supply the material listed above in 1a-d.

2. If a subcommittee recommends rejection, it will notify the UCC of its decision. It also will directly notify the applicant, detail its rationale (by supplying the material listed above in 1a-d), and inform the applicant of three available options:

- i. revise the application and resubmit; or
- ii. drop the effort to gain core approval; or
- iii. appeal the negative recommendation to the full UCC. Any appeal must include the material listed in 1a-d (above) and respond to any shortcomings listed by the subcommittee.

AC: 04/03/2006

AC: 04/04/2011

#### Core Credit Approval for a Course Taught Outside a Core Area:

A department or faculty member may seek core credit approval for a course taught in a discipline outside a particular core area of the Core Curriculum. This procedure applies only to courses currently unapproved for core credit.

In order to have a course considered for core credit in the natural sciences\* or in any core area outside of the offering department, a department or faculty member must submit a *Core Credit Application*, consisting of (1) a course syllabus and (2) a *Core Course Review Form*, available from the UCC, to the respective Core Reviewing Unit and the chair of the UCC by October 1 for fall applications and February 15 for spring applications. The *Core Course Review Form* should describe in detail how the proposed course fulfills the learning objectives for the respective core area, available from the UCC.

The Core Reviewing Unit will review the application and submit to the UCC its Core Course Recommendation Form and minutes of the relevant meeting of the Core Reviewing Unit in which it describes why the course should or should not be granted core credit. Deadlines for this step are November 25 for fall applications and April 25 for spring applications.

The UCC reviews the *Core Credit Application* and the *Core Course Recommendation Form* and makes a decision by voting to either Accept or Reject the recommendation in the *Core Course Recommendation Form*. In the event of a negative outcome, the Core Reviewing Unit will work with the department or faculty member toward proposing a new course for a successful outcome whenever possible.

#### Core Areas

Classical studies and Modern Languages (Area V)

English (Area IV)

History (Area II)

Mathematics (Area I)

Philosophy (Area III)

Religious Studies (Area III)

Visual and Performing Arts (Area IV)

#### Core Reviewing Unit

Either Classical Studies Program or  
Modern Languages Department

English Department

History Department

Mathematics Department

Philosophy Department

Religious Studies Department

Visual and Performing Arts Department



Natural Science (Area I)  
Social Science (Area II)

Core Science Course Review Committee\*  
Social Science Core Reviewing UCC  
Subcommittee\*\*

\*Core Science Course Review Committee: The Core Science Course Review Committee (CSCRC), using guidelines available from the UCC, makes recommendations to the UCC regarding which natural science courses should be designated for natural science core credit. Courses designated for science majors automatically earn natural science core credit. Science courses for non-science majors, science courses offered outside of the natural science departments, and science courses offered through study abroad programs, are all reviewed by the CSCRC. The CSCRC consists of one member from each of the natural science departments (Biology, Chemistry, and Physics), along with one faculty member from outside of the natural sciences.

\*\*The Social Science Core Reviewing UCC Subcommittee:

The Social Science Core Reviewing UCC Subcommittee makes recommendations to the UCC regarding which courses from outside a social science department should be designated for social science core credit. This UCC Subcommittee consists of one faculty member from each of the social science departments (Politics, Economics, Psychology, Sociology and Anthropology, and Communication) and one faculty member from outside these departments. Each social science department nominates at least one of their faculty members to serve, and members are elected to three-year terms by the UCC each year. Members may serve consecutive terms.

AC: 02/26/2012

Purview of the Committee on Admissions and Scholarships:

That the area of concern of the Admissions and Scholarships Committee specifically includes all aspects of admission, financial aid, including athletic scholarships, review of scholarships, and grants-in-aid.

AC: 12/15/1971

Committee on Continuing Education/University College Committee:

The name of the Committee on Continuing Education is changed to University College Committee.

AC: 12/09/2002



## 8. Items related to Teaching: Curricula, Grading, Credit, etc.

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### Academic Calendar:

That first semester begin the first week of September (e.g. Sept. 3) and end before Christmas (e.g. Dec. 19), with all exams and requirements completed by then.

AC: 03/23/1970

That the vacation period between Fall and Spring semesters should be approximately one month long (e.g. Dec. 20 - Jan. 17).

AC: 03/23/1970

That there should be a minimum of three reading days between the ending of classes and the end of final exams each semester.

AC: 03/23/1970

amended GF: 04/03/1987

### Policy on Course Syllabi:

That in all classes there be provided a course syllabus setting out the course outline, readings and grading policy including the number of tests, method of evaluation, and weights of each evaluation.

AC: 09/14/1987

### Canceling classes in inclement weather:

In the event of inclement weather, when the University remains open, faculty members should make every reasonable effort to meet their regularly scheduled classes. The final judgment on what is reasonable effort, and therefore whether to hold class, resides with the individual faculty member. Faculty members should try to notify their students of a decision to cancel class in a timely manner.

AC: 09/12/1994

Replaced AC: 04/16/2012

### Class Attendance:

All students are expected to attend every regularly scheduled class session. The impact of attendance on grading is specified in the syllabus for each course. Unexcused absences may be reported to the appropriate academic dean. Faculty members should have a policy for dealing with student absence on the syllabus for each course. If a student will miss a class due to an illness/injury, the professor should be notified according to the policy on the syllabus. If a student will miss an exam, quiz or in class presentation due to illness/injury or another type of emergency, the professor should be contacted beforehand. A faculty member may request that the student provide verification of the absence from a health care provider. It is the purview of the faculty member to determine when or if a student absence will be excused.

CR: 11/02/1987

Replaced AC: 04/16/2012

#### Final Exam Policy:

1. Each instructor should be given a wide latitude, so as to provide for a degree of creativity and flexibility in how the students will be tested. The form of evaluation should be in keeping with the goals and purposes of the course.
2. In every case the form of the final, end-of-semester evaluation (written examination, take-home, oral exam, paper, etc.) must appear on the syllabus at the beginning of the semester.
3. The normal form of final evaluations is a written examination, two to three hours in length, to be administered at the date and time assigned by the Registrar. Written examinations less than two hours or more than three hours will require written notification of the students, Dean, and chairperson, program director or area coordinator, as appropriate.
4. If the professor chooses a method of evaluation other than the normal 2 to 3 hour written examination on the assigned date and time, the following criteria must be met:
  - a. A memorandum must be submitted in writing to the chairperson, program director or area coordinator and the appropriate dean, reasonably in advance of the end of the semester, describing the alternate form of the final evaluation to be used.
  - b. No greater demands should be made of a student's time and effort by an alternate form of final examination than would be required by preparation and taking of the normal 2 to 3 hour written examination.
  - c. No alternative form of final evaluation is to be due prior to the date assigned by the Registrar for that course's final examination.

AC: 12/02/1985  
amended AC: 05/15/1989  
amended AC: 05/01/2000

As a general rule, exceptions should not be made to the final examination policy. However, whenever the Deans do make exceptions, the Faculty should be informed by a published list of those exceptions.

CR: 11/02/1987  
AC: 03/07/2011

#### Portfolio Assessment in University College:

Because the Portfolio Assessment Process has been a valuable tool in fostering self-understanding and informed academic planning in learners enrolled in the Bachelor of General Studies, the option should be made available to learners in all degree programs offered through University College.

AC: 05/15/1989  
updated AC: 02/07/2011

Number of Final Exams on a Single Day:

Students are not required to take more than two exams in any final exam day.

CR: 11/02/1987

Final Exam as a Percentage of Total Grade:

The final examination should constitute approximately 1/3 of a grade with exceptions requiring written notification to student, dean, and chairperson.

CR: 11/02/1987

Retention of Final Examinations:

That final examinations (blue books, etc.) and term papers or other written assignments used by the professor for determining the final course grade be retained by the professor until the end of the following term, so as to be available for student inspection.

AC: 02/03/1984

Completion of "Incompletes":

An Incomplete is issued when, due to an emergency situation such as a documented illness, a student arranges with the course instructor to complete some of the course requirements after the term ends. All course work must be completed within 30 days after the beginning of the next regular semester. Any requests to extend the 30-day time period for completing an Incomplete require approval by the appropriate Dean.

CR: 03/28/1988

amended AC: 05/17/2000

amended AC: 11/21/2011

Student Evaluation of Teaching:

Every faculty member in every class shall administer the IDEA teaching evaluation form. The On Campus Coordinator for IDEA (OCC) shall be a non-faculty employee appointed by the Senior Vice President for Academic Affairs who reports to the SVPAA. The OCC is responsible for coordinating the administration of the IDEA teaching evaluations, for receiving all data from IDEA, for overseeing the storage of the data and for distribution of Diagnostic Reports to individual faculty members. The OCC is the only person authorized to receive data from IDEA. Individual teaching evaluation data belong to the individual faculty member. The OCC will have access to the data but may not release individual faculty data to anyone except the individual faculty member without the faculty member's written permission. Aggregate data can be made available to faculty and administrators provided that data for individual faculty members cannot be identified. Each fall, the Faculty Development and Evaluation Committee shall appoint the FDEC chair and an elected FDEC member from a different school to be liaisons to the OCC for that year.

GF: 03/17/1981

AC: 5/25/2010

AC 5/2/2011

Fairfield University Student Association (FUSA) Questions on Teaching Evaluation Form:

Every faculty member in every class shall include the following five items as the first five additional items in the extra questions section of the IDEA form:

- (1) The instructor taught the course material in an interesting manner.
- (2) The instructor created an environment where students felt comfortable in asking questions and expressing themselves.
- (3) The course syllabus and directions for assignments were clear and accurate.
- (4) The workload for this course was manageable.
- (5) I would recommend this course and instructor to other students.

Students shall be asked to rate each of these five statements on a scale of 1-5 (5 being the most accurate).

For a given class, if a faculty member doesn't want the data from these five additional items sent to FUSA, the faculty member must inform the On Campus Coordinator (OCC) in writing before the end of the term.

AC: 5/25/2010

Activation of student PIN for registration:

That use of a student's PIN not be activated to allow for registration until the student's faculty advisor, department head or dean has used his or her own Net ID login to verify that he or she has consulted with the student, issued the student's PIN, and approved the student's proposed course of study.

AC: 02/26/2012

Student Course Load:

The normal course load for a matriculated student is between 14 and 18 credit hours. To maintain full-time status, a matriculated student must be registered for a minimum of 12 credit hours each semester.

AC: 04/22/1968

amended CR: 05/20/1987

Admission to Fully Enrolled Courses:

The Schedule of Courses shall include a statement informing students that they may directly appeal to a professor for admission to an otherwise closed course.

CR: 11/02/1987

AC: 04/04/2011

Electives in the Undergraduate Curricula:

All students in B.A. programs must have a minimum of eight free electives; students in B.S. programs must have a minimum of four free electives, except in the School of Nursing where two are required. These electives may be chosen in any area of study, presuming prerequisites are met, and cannot be determined or required by any Department or School.

CR: 11/02/1987

#### Honor Code:

Fairfield University's primary purpose is the pursuit of academic excellence. This is possible only in an atmosphere where discovery and communication of knowledge are marked by scrupulous, unqualified honesty. Therefore, it is expected that all students taking classes at the University adhere to the following Honor Code:

"I understand that any violation of academic integrity wounds the entire community and undermines the trust upon which the discovery and communication of knowledge depends. Therefore, as a member of the Fairfield University community, I hereby pledge to uphold and maintain these standards of academic honesty and integrity."

AC: 03/09/2009

#### Academic Honesty:

All members of the Fairfield University community share responsibility for establishing and maintaining appropriate standards of academic honesty and integrity. As such, faculty members have an obligation to set high standards of honesty and integrity through personal example and the learning communities they create. Such integrity is fundamental to, and an inherent part of, a Jesuit education, in which teaching and learning are based on mutual respect. It is further expected that students will follow these standards and encourage others to do so.

Students are sometimes unsure of what constitutes academic dishonesty. In all academic work, students are expected to submit materials that are their own and are to include attribution for any ideas or language that are not their own. Examples of dishonest conduct include, but are not limited to:

- Falsification of academic records or grades, including but not limited to any act of falsifying information on an official academic document, grade report, class registration document or transcript.
- Cheating, such as copying examination answers from materials such as crib notes or another student's paper.
- Collusion, such as working with another person or persons when independent work is prescribed.
- Inappropriate use of notes.
- Falsification or fabrication of an assigned project, data, results, or sources.
- Giving, receiving, offering, or soliciting information in examinations.
- Using previously prepared materials in examinations, tests, or quizzes.

- Destruction or alteration of another student's work.
- Submitting the same paper or report for assignments in more than one course without the prior written permission of each instructor.
- Appropriating information, ideas, or the language of other people or writers and submitting it as one's own to satisfy the requirements of a course – commonly known as plagiarism. Plagiarism constitutes theft and deceit. Assignments (compositions, term papers, computer programs, etc.) acquired either in part or in whole from commercial sources, publications, students, or other sources and submitted as one's own original work will be considered plagiarism.
- Unauthorized recording, sale, or use of lectures and other instructional materials.

In the event of such dishonesty, professors are to award a grade of zero for the project, paper, or examination in question, and may record an F for the course itself. When appropriate, expulsion may be recommended. A notation of the event is made in the student's file in the academic dean's office. The student will receive a copy.

AC: 03/09/2009

#### Academic Honesty Board:

The existing Academic Honesty Board is to be eliminated as of the end of the 2009-2010 academic year because its work will now fall under the Student Academic Grievance Board.

AC: 03/01/2010

#### Student Academic Grievance Board:

The purpose of the Student Academic Grievance Board is to provide a pool of faculty from which faculty representatives are drawn to serve on a Grievance Committee, when a Grievance Committee is formed as described in the Student Academic Grievance Procedure. The Student Academic Grievance Board consists of nine tenured faculty members, each having at least three years of full time service at Fairfield University. New members are appointed each fall by the Committee on Committees. The term of service is three years; faculty may be reappointed upon completion of a term.

AC: 03/01/2010

amended AC: 03/05/2012

#### Student Conduct Board:

Beginning in fall 2010, the faculty panel currently referred to as the Student Conduct Board will be renamed the Faculty Panel for Student Conduct Boards.

AC: 05/03/2010



Faculty Panel for Student Conduct Boards:

The purpose of the Faculty Panel for Student Conduct Boards is to provide a pool of faculty from which faculty representatives are drawn to serve on Student Conduct Boards, when such boards are convened as described in the Student Handbook. The Faculty Panel for Student Conduct Boards consists of nine faculty members, each with at least four years full time service at Fairfield University. New members are appointed each fall by the Committee on Committees. The term of service is three years; faculty may be reappointed upon completion of a term.

AC: 05/03/2010  
Amended AC: 12/6/2010  
amended AC: 03/05/2012

Definition of Academic Grades:

A ~ Outstanding achievement

B ~ Superior level of achievement

C ~ Acceptable level of achievement with course material

D ~ Minimal achievement, but passing

F ~ unacceptable level of achievement; course must be repeated to obtain credit

A "plus" (+) may be added to grades of B or C to indicate work performed at the top of that range.

A "minus" (-) may be added to grades A, B, or C to indicate work performed below that range.

Quality points and numerical equivalents for these grades are as follows:

	Grade Points	Numerical Equivalent
A	4.00	93-100
A-	3.67	90-92
B+	3.33	87-89
B	3.00	83-86
B-	2.67	80-82

C+	2.33	77-79
C	2.00	73-76
C-	1.67	70-72
D	1.00	60-69
F	0.00	0-59

CR: 11/02/1987

AC: 02/07/2011

#### Grade Change:

A change in a student's grade for a course may only be made by the instructor of record for the course, or by the SVPAAC acting on the recommendation of a Grievance Committee or department committee that has been charged as part of the Student Academic Grievance Procedure [See Appendix] with reviewing an academic grievance appeal.

AC: 03/01/2010

#### Academic Advancement:

For academic advancement from year to year in good standing, it is not enough that the student pass all courses; in addition, he or she must maintain a quality standard that is computed from grade points. The number of grade points earned by each grade is explained [under Definition of Academic Grades] (e.g., A earns 4 grade points; A- earns 3.67, etc.)

To be eligible for graduation, a Fairfield student must have an overall Grade Point Average (GPA) of 2.0 or better at the conclusion of the senior year. To progress towards satisfaction of that requirement, students advancing from the first year to the sophomore year are expected to have weighted cumulative GPA of 1.80 or better. By the start of the junior year, students are expected to have a weighted cumulative GPA of 1.90 or better. Finally, in advancing to the senior year, students should have an overall cumulative GPA of 2.0 or better.

Although students who do not meet the foregoing standards will be permitted to continue their studies at Fairfield University, they will be notified that they are not advancing satisfactorily. Furthermore, they will be warned that they are in jeopardy of not graduating with their class. In addition, they are strongly encouraged to enroll in summer courses or winter intercession courses at Fairfield University in order to improve their GPA.

Students in the School of Nursing must meet University promotion policy requirements. In addition, to remain in the nursing major students must meet promotion policy requirements established by the School of Nursing. These are available in the School of Nursing Office.

AC: 05/22/1995

AC: 03/07/2011

#### Academic Probation:

The purpose of academic probation is to alert the student and the institution to the problems associated with the student's academic performance and to recommend or implement strategies for improvement. The continuation of poor academic performance will result in the dismissal of the student. Faculty advisors are notified of all advisees placed on academic probation.

A student placed on academic probation will remain on academic probation until the overall GPA is at or above the requirements specified below. A student will be removed from academic probation as soon as his/her cumulative GPA is equal to or greater than the requirement on the basis of subsequent courses completed at Fairfield during the next semester or during special January or summer sessions.

A student on academic probation is ineligible to participate in extracurricular or co-curricular activities during any semester in which the student is on probation. A student on academic probation may petition the Academic Vice President for the right to participate in extra- or co-curricular activities. The appeal must contain a valid and compelling reason why restriction of extra- or co-curricular activities is inappropriate, and must demonstrate effectively that the activity will contribute an improvement in academic performance.

**First Year Students:** First semester, first-year students with a GPA below 1.90 will not be placed on academic probation for their second semester, but they will lose their rights to participate in extracurricular or co-curricular activities. By the end of the student's second semester, or the first year at Fairfield, students will be placed on academic probation if the overall GPA is below 1.90.

**Sophomores:** Sophomores will be placed on academic probation if the overall GPA is below 1.90.

**Juniors and Seniors:** Juniors and seniors will be placed on academic probation if the overall GPA is below 2.00.

AC: 02/01/1993  
amended AC: 05/22/1995  
amended AC: 04/03/2000  
amended AC: 10/01/2007

#### Academic Dismissal:

Students meeting any of the following conditions will be dismissed from the University:

- A student who at the end of a semester has received the grade of F in three or more courses
- A student who at the end of the academic year has received the grade of F in three or more courses

- A sophomore, who regardless of incompletes, while on academic probation and enrolled full time (i.e., attempting a minimum of 12 credit hours), proceeds to earn a semester GPA below 1.90
- A junior or senior, who regardless of incompletes, while on academic probation and enrolled full time (i.e., attempting a minimum of 12 credit hours), proceeds to earn a semester GPA below 2.00

Students who have been dismissed from the University for reason of academic failure are normally expected to remain away for at least a full semester (fall or spring) before seeking readmission. Such individuals lose all entitlement to institutionally funded financial aid.

AC: 10/01/2007

#### Withdrawal Policy:

Students who wish to withdraw from a course after the initial add/drop period may do so by the mid-point of the course (e.g., through the end of the seventh week of a traditional semester) provided that (a) the student's academic dean, in consultation with the course instructor, finds withdrawal to be in the student's best interest (note that a student must maintain 12 credit hours for full-time status). After the mid-point of the term, course withdrawal will only be granted in highly unusual circumstances, such as documented health emergency. Withdrawal after the mid-point of the term will not be permitted simply to prevent receipt of a grade that might not meet the student's satisfaction. In addition, students who have violated the academic honor code may not be eligible for withdrawal. In all approved cases, the University Registrar will record a grade of a W (withdrawal) on the student's permanent record. To initiate a request to withdraw from a course, a student must complete a Course Withdrawal Form and meet with his/her academic dean. A "W" may not be granted after final grades have been submitted except in very rare cases, during which an instructor must file a change of grade form.

AC: 05/19/2010

#### Course and Credit Requirement for Graduation:

The course and credit requirement for graduation is a minimum of 120 credits and at least 38 three or four credit courses.

[This new graduation requirement is in effect with the class of 2006.]

AC: 12/03/2001

#### Grade Point Average Required for Graduation:

A Grade Point Average (GPA) of 2.0 overall and in one's major is required for graduation.

CR: 11/02/1987

AC: 02/07/2011

Grades in a Student's Major:

An overall average of 2.0 GPA is required in those courses used to fulfill the minimum major requirement (understanding this average to be exclusive of a first introductory course).

CR: 11/02/1987

AC: 02/07/2011

Counting Courses in Multiple Programs:

Any course meeting the requirements of more than one program (i.e. major, minor, and/or the core) should be given credit in these programs, unless the University's undergraduate catalog specifies otherwise. Multiple counting of courses does not affect the units of credit associated with such courses (i.e., three credits are worth three credits toward graduation).

AC: 11/01/1993

Privacy of Academic Records:

Students maintain certain rights of privacy with respect to the contents of their academic records. These rights include the right to control the disclosure of information contained in their academic records, the right to access and inspect the contents of the records, the right to seek amendment of contents believed to be inaccurate, and the right to file a complaint for alleged violation of these rights. There are recognized exceptions to the rights described above, including but not limited to the right of faculty to discuss a student's academic progress with school officials with a legitimate educational interest. The University's policies and procedures should respect these rights to the extent that the University's actions are in compliance with state and federal laws. A complete description of student privacy rights with respect to educational records is set forth annually by Fairfield University in its Family Educational Rights and Privacy (FERPA) Annual Notice.

Student grades and graded papers may not be posted or left in a manner, which would allow others to identify the evaluation of an individual student. Social security numbers may not be posted.

It is the responsibility of supervisors of secretaries and other employees who may have contact with student grades to inform them of the student's right to privacy of academic records.

AC: 10/04/1993

AC: 04/04/2011

First-Year Midterm Estimates:

In order to identify and intervene with students who are having trouble in several courses, it will be required that all faculty teaching first year students notify the Registrar halfway through the fall and spring semester if a student is in danger of receiving a C-, D or an F. The Registrar will notify the student, and notification will also be made to the faculty adviser, the appropriate Dean, and the Dean of first year students.

AC: 11/01/1993

amended AC: 10/03/1994

Participation in a Declared Major during Freshman Year:

In cases where it is not current policy, freshmen are to be allowed to take courses in their declared majors.

CR: 11/02/1987

Change of Major:

To change from one major to another in one's school requires completion of a 'change of major' form. The form must be signed by the Chairperson/Coordinator of the major in which the student is currently enrolled, the Chairperson/Coordinator of the major which the student desires and the dean of the school. The form is then forwarded to the University Registrar.

AC: 12/04/1989

Individually Designed Majors:

The proposal for individually designed majors is approved.

AC: 02/12/2001

Policies on Minors:

In addition to carrying a major, a student may exercise the option of selecting a minor outside the area of specialization. A minor is a cluster of related courses drawn from one or more curriculum areas, usually in the range of 15 to 18 credits. Minors are described under individual curriculum areas.

In order to select a minor, a student must submit a request and gain approval by the Chair or program director of the prospective minor no later than the Spring registration period of the student's Junior year. The completion of the minor must be approved by the chairperson or coordinator of the minor area during the Fall registration period of the student's Senior year, and is subject to course availability.

Courses in the University's core curriculum may be used without limit in fulfilling the requirements for a minor.

All curriculum areas that offer a minor indicate so in the catalogue.

All curriculum areas offer specific guidelines such as how many courses are required and what level courses are applicable (introductory vs. upper division).

The certification of completion (of a minor program) should be conveyed to the University Registration at this time. Ultimate ratification of completion will be by the Registrar.

CR: 03/14/1988

amended AC: 10/17/1988

amended AC: 12/07/2009

AC: 04/04/2011

### Independent Studies:

The Undergraduate Curriculum Committee recognizes that it can be a valuable educational experience when a conscientious student pursues in depth a personal interest, and is led to a new level of knowledge under the tutelage of a dedicated faculty member.

To ensure the academic quality of such guided study, the Committee has established the following set of requirements:

1. Students may pursue independent study projects
  - a. during their junior and/or senior years, or, in the case of University College students, after having completed 45 credits; and
  - b. when their academic record indicates, in the judgment of the responsible faculty member and curriculum area personnel, that independent study can be brought to a successful conclusion; and
  - c. if a student undertakes more than one independent study project, the total credit hours for all projects may not exceed 9 credit hours towards the undergraduate degree.
2. Students, other than those in University College, should apply to the professor under whose direction they wish to study no later than the normal registration time of the preceding semester, or, in the case of University College students during their normal registration period. The professor's decision to accept a student for independent study will be based on such criteria as the student's academic maturity and performance record, the professor's specialty within the discipline, and his or her teaching load.
3. The responsible faculty member, with the concurrence of the head of the curriculum area involved, should determine the number of credit hours appropriate for the independent study project suggested. In the event the faculty member and the head of the curriculum area are the same individual, a second faculty member from this curriculum area should be involved in the decision. For projects of less than a semester's equivalent course work, one or two credit hours may be assigned; for projects of a semester's equivalent course work, three credit hours, or, with a laboratory component, four credit hours may be assigned.
4. The "Independent Study Application Form" must be completed and filed with the Registrar before the project may begin.

There should be a universal number employed to indicate work done within a curriculum area on an independent study basis: e.g. 399 (RS 399; FA 399; . . .)

AC: 03/23/1970  
amended CR: 12/01/1986  
amended CR: 02/01/1988  
updated AC: 02/07/2011

#### Tutorials:

In rare circumstances, students may be permitted to enroll in a course listed in the University catalog on a tutorial basis with the approval of the Area Coordinator/Chair and the faculty member offering the tutorial.

CR: 03/28/1988

Replaced AC: 04/16/2012

#### Assignment of Course Credit in FU Study Abroad Programs:

All Study Abroad programs that award Fairfield University grades for courses must assign credit for those courses according to the following policy.

- a. The University College (working with the program director, if a Fairfield academic program is closely linked to the study abroad site) will sift through the catalog and compile an initial list of courses that correspond to offerings in our current departments and schools.
- b. University College will send the corresponding courses to the relevant dean, department chair or program director. The dean/chair/director, in consultation with the department/advisory board, will decide whether a study abroad course 1) should qualify for Fairfield credit; 2) meets departmental/program requirements for the major or minor; and 3) meets core requirements in the department's or school's area.
- c. Fairfield students also would have the opportunity to seek Fairfield credit for study abroad courses that do not correspond to Fairfield departments and schools. Students would seek approval from the Dean of University College to use such courses as electives. Students also could try to have such elective courses count toward core requirements; such petitions would be heard by the SVPAA's office since core issues go beyond the jurisdiction of a single department or dean.
- d. The process set forth in a., b., and c. shall be initiated by University College and repeated every three years.

AC: 03/11/2002

Adapted AC: 03/03/2003

#### Transfer Credit:

All transfer credit must be approved by an undergraduate student's academic dean. Transfer credit will only be reviewed by an academic dean upon the receipt of an official transcript. Only grades of "C" (2.0 quality points and a numerical equivalency of no lower than 73) or higher will be considered for transfer. After matriculation at Fairfield University, any courses taken at another institution must be pre-approved by the academic dean prior to registration. Upon completion, with a grade of "C" or higher, only credit hours, not grades, will transfer. Every student is required to complete a minimum of 60 Fairfield University credits for the Bachelor's Degree.

AC: 05/22/1995



Policy for Advanced Placement:

Departmental, Advanced Placement, and CLEP exams may be used to exempt a student from certain required courses in the core or in the student's major. The use of particular exams and the matching of exams with courses shall be at the discretion of the appropriate department. Justification must be provided to the Curriculum Committee by any department declining to use exemption exams. For each course exempted through advanced placement or departmental testing, a student's requirements for graduation will be reduced by one course. The acceptable mark for CLEP exams is at least the 50<sup>th</sup> percentile. The acceptable mark for Advanced Placement Tests is 4 or 5. Students who score at least a grade of 4 on an Advanced Placement Test will be awarded graduation credit by the University.

Fairfield undergraduates are limited to no more than a combined 15 credit hours toward graduation for CLEP exams (College Level Examination Program), the Excelsior program in Nursing, high school Advanced Placement exams and any other programs in which students take an exam in lieu of an entire semester's coursework.

CR: 11/02/1987

AC: 03/04/1991

amended AC: 12/07/1992

amended AC: 03/11/2002

College Courses in High School:

For students who pursue college courses in their high school, upon receipt of an official college transcript, the course work will be evaluated by the appropriate dean in consultation with the appropriate curriculum area. That dean will determine the appropriateness of the transfer credit for the student's program and decide whether it has met Fairfield's curriculum standards. Only courses in which the student received a grade of "C" or higher will be considered. Approved courses with a grade of "C" or higher will be awarded transfer credit. The grades will not be transferred.

AC: 11/02/1992

Credit for R.O.T.C. Courses:

Fairfield University students may be given academic credit for R.O.T.C. courses taken at other institutions (e.g. University of Bridgeport), with the condition that these credits be over and above what is required for graduation from Fairfield.

CR: 11/02/1987

Released Time for Students:

A student participating in a university sponsored event has the right to be excused without penalty or grade jeopardy from exams, student presentations, attendance and other classroom events during that time, provided the student makes up the required work in the fashion mutually agreed upon by the professor and the student.

Students participating in such university sponsored events will be allowed to make up any major exams, tests or quizzes which they miss in a course, when they are involved in a sche-

duled event, provided that participating students, or faculty moderator, inform all their professors in writing at the beginning of the semester, or as soon thereafter as possible, once scheduling is confirmed.

University sponsored events covered by this policy are defined as follows:

1. Athletics:

- a. all varsity sporting events; to include post-season tournaments.
- b. all club sporting events.

2. Others:

- a. Concerts, plays or other group performances where the absence of a member would detract from the overall performance.

Not included in this policy are clubs formed on a departmental basis such as Biology Club, Psychology Club, etc.

AC: 03/23/1987

Course-Related Field Trips:

That course-related field trips not be given the status for missing course requirements. The word "status" refers to the kinds of situations acknowledged under the present policy [on "Released Time for Students"] as serious enough to allow students the opportunity to make up any major exams which they miss in a course due to their being away from campus for a scheduled event.

CR: 09/14/1987

Release time for athletes during exam period:

It is the policy of the Athletics Department not to require team practices or schedule contests during final exam periods, including Reading Days. Because the University has obligations as a member of leagues, conferences and associations, exceptions are sometimes unavoidable. If exceptions to this general policy are made, they should be approved in advance by the Senior Vice President for Academic Affairs and reported by his/her office each semester to the Academic Council.

AC: 12/09/2002

AC: 05/05/2003

AC: 04/04/2011

Sunset Policy for removing courses from the catalog, and timetable for re-approval:

If a course has not been taught for four consecutive calendar years, it will be removed from the catalog(s) in which it has been listed unless an individual department or school requests a waiver in writing from the appropriate curriculum committee of the appropriate school(s) and

the department or school announces that the course will be offered within the next calendar year.

A course that has been removed from the catalog may be listed in the catalog for an upcoming academic year without undergoing any curricular review provided that the course will be offered during that academic year and the course has not been out of the catalog for more than two years.

A course that has not appeared in the catalog for more than two consecutive years cannot be reinstated without the usual application procedures to the appropriate committee of the appropriate school.

This policy does not apply to courses such as Special Topics, Internships, Independent Research and Independent Studies. The responsibility for adherence to these policies resides with the appropriate deans. Chairs will be notified by the appropriate dean when a course has appeared in the catalog but not been offered for three consecutive years.

AC: 04/11/1994  
amended AC: 05/25/2010

Teaching Load:

University faculty teaching in University College should be either credited toward their regular teaching load or receive appropriate remuneration for extra service.

AC: 02/12/1973  
AC: 02/07/2011



## 9. Items related to Teaching: Approved degrees, majors, minors, etc.

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### Approval of programs included in the Journal of Record:

Upon their approval, all new schools, programs, majors and minors shall be included in the *Journal of Record*.

AC: 04/25/1988

Amended AC: 03/06/2006

AC: 04/04/2011

### College of Arts and Sciences:

American Studies, Master of Arts (AC: 05/15/1996)

Anthropology, minor (AC: 11/21/2011)

Biochemistry, major (AC: 04/28/2008)

Biochemistry, minor (AC: 02/05/1996)

Black Studies: Africa and the Diaspora, minor (AC: 05/22/1995)

Catholic Studies, interdisciplinary minor (AC: 03/06/2006)

Classical Music Performance, minor (AC: 05/01/1995)

Communication Arts, major (AC: 04/25/1988)

Communication, Master of Arts (AC: 04/07/2008)

Computer Science, major (AC: 04/25/1988)

Computer Science, minor (AC: 04/25/1988)

Creative Writing, Master of Fine Arts (AC: 12/03/2007)

Economics, B.S. program (AC: 03/06/1995)

Program on the Environment, minor (AC: 10/6/2008; formerly Environmental Studies AC: 03/06/1995)

Film and Television, minor (AC: 12/02/1996)

International Studies, major (AC: 02/01/1993)

International Studies, revised major (AC: 02/04/2008)

International Studies, revised minor (AC: 02/04/2008)

Irish Studies, minor (AC: 05/17/2000)

Italian Studies, minor (AC: 05/13/1998)

Jazz Performance, minor (AC: 05/01/1995)

Judaic Studies, minor (AC: 04/01/1996)

Latin American/Caribbean Studies, minor revised (AC: 03/06/1995)

Legal Studies, minor (AC: 02/02/1998)

Mathematics, Master of Science (11/02/1998)

New Media: Film, Television and Radio, major (AC: 10/04/2004)

Russian and Eastern European Studies, minor (AC: 04/03/1995; AC: 05/01/1995)

Studies in Peace and Justice, minor (CR: 02/09/1987; renamed AC: 05/17/2000)

Women, Gender and Sexuality Studies, minor (AC: 05/14/2012; formerly Women's Studies, AC: 02/01/1993)

### Dolan School of Business:

Accounting, minor (AC: 05/17/2000)  
Accounting, Master of Science (AC: 11/01/2004)  
Accounting Information Systems, minor (AC: 04/10/2006)  
Business Administration, Masters (MBA program) (AC: 02/14/1994)  
Business Law, Regulations and Ethics, minor (AC: 05/17/2000)  
Entrepreneurship, minor (AC: 12/06/2010)  
Finance, minor (AC: 05/17/2000)  
Information Systems, minor (AC: 05/17/2000)  
International Business, revised major (AC: 02/04/2008)  
Management, minor (AC: 05/17/2000)  
Management Information Systems, major (AC: 04/25/1988)  
Marketing, minor (AC: 05/17/2000)

Graduate School of Education and Allied Professions:

Elementary Education, concentration (AC: 03/01/1993)  
Secondary Education with Initial 7-12 Certification, revised masters  
(02/04/2008)  
Masters in Childhood Education with Initial Certification (Certification in Elementary or  
Early Childhood Education (AC 11/21/2011)  
Five-year integrated Bachelors-Masters Teacher Education program (AC: 05/19/2010)  
Educational Studies, minor (AC: 05/19/2010)  
Non-clinical Masters Degree in Family Studies (AC: 05/25/2010)

School of Engineering:

Electrical and Computer Engineering, Master of Science (04/07/2003)  
Engineering, Evening School established (GF: 12/02/1993)  
Engineering, undergraduate five-year program (GF: 04/30/1999)  
Engineering, undergraduate four-year program (AC: 02/04/2002)  
Engineering, minor (AC: 04/02/2007)  
Management of Technology, Master of Science (AC: 11/10/1997)  
Mechanical Engineering, Master of Science (AC:02/07/2005)  
Software Engineering, five-year BS/MS program (AC: 02/05/2007)  
Software Engineering, Master of Science (AC: 05/13/1998)

School of Nursing:

Nurse Anesthesia track for Master of Science (AC: 12/05/2005)  
Nursing, Master of Science (AC: 05/03/1993)  
Clinical Nurse Leader track for Master of Science (03/05/2007)  
Doctor of Nursing Practice (AC: 10/13/2009)

University College:

Bachelor Degree in Professional Studies (UCC: 1982; formerly Bachelor Degree in General  
Studies AC: 05/17/2000)  
Associate Degree in General Studies (AC: 02/03/1986)

Certificate of Advanced Studies in Literacy (AC: 04/07/2008)

Programs that have been eliminated:

Associate of Arts degree (AC: 12/06/2010)

Environmental Science, minor (Approved AC 04/07/1997; eliminated AC 10/06/2008)

Marine Science, minor (Approved AC 05/01/1995; eliminated AC 10/06/2008)

Neuroscience, B.S. program (Approved AC 03/06/1995; eliminated AC 04/08/2002)

Religious Education in GSEAP (eliminated AC 12/02/1991)

Organizational Communication, Corporate Cohort Program for Master of Arts (approved AC 04/10/2006, eliminated AC: 05/14/2012)

Taxation, Master of Science (approved AC: 11/01/2004, eliminated AC: 05/09/2011)

University College (GF: 03/02/2012; formerly School of Continuing Education)





## 10. Items related to Appointment, Promotion, Tenure, and Retirement

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### Role of Curriculum Area in Faculty Appointment Procedures:

- All appointments to curriculum areas must be made according to the guidelines found in the Faculty Handbook (II.A.i.a) and the procedures published in the governance document of the School in question;
- The assignment to teach a course in a curriculum area constitutes a *de facto* appointment that is subject to the above principles.

AC: 03/18/1975  
amended AC: 02/02/1987

### Consideration of prior service for promotion and tenure:

Evaluation for promotion or tenure should be based on a faculty member's performance in the academic career starting with his/her initial appointment at the rank of full-time instructor or higher at an institution of higher learning. While promotion and tenure are based on performance in the academic career, the committee shall not recommend tenure or promotion unless it has reasonable confidence that such performance will continue at Fairfield University.

AC: 11/05/1991  
Replaced AC: 04/30/2012

### Professor of the Practice:

The professor of the practice would be appointed based on the procedures and qualifications set forth in the Faculty Handbook (II.A.1). These positions normally would require a 4-4 teaching load and university service, though not the peer-reviewed scholarship expected of faculty in tenure-track or tenured positions. Professors of the practice would be members of the General Faculty and so have full voting privileges within departments, schools, and at meetings of the General Faculty. They would be eligible to serve on any standing committee of the General Faculty, with the exceptions of the Committee on Rank and Tenure and the Research Committee. They would be expected to perform all of the "Faculty Duties" listed in the Faculty Handbook (II.C.1). Professors of the practice would be eligible for merit pay, but not for promotion in rank. In any school, professors of the practice would normally constitute no more than 10% of the full-time faculty. The appointment of any professor of the practice will never diminish the number or the growth of tenured faculty lines in departments, curriculum areas, programs, schools, or in the University as a whole.

AC: 03/09/2009

### Privileges for Retired Faculty:

Full-time faculty who retire with at least fifteen (15) years of service to the University are entitled to receive the following privileges on the same terms as full-time active faculty: access to all University academic and recreational facilities; access to university e-mail; attendance at university educational, cultural, and athletic events, including academic convocations and

processions; campus parking; the receipt of University publications; and tuition remission at Fairfield University for the retiree and his or her spouse.

AC: 04/21/1986  
amended AC: 05/07/1986  
amended AC: 09/08/1997  
amended AC: 04/04/2011

## 11. Items related to the Faculty Secretary

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### Committee Records and the Faculty Secretary:

That the Secretary of the Faculty should keep a complete record of all annual reports from all standing committees and should notify the appropriate chairs to submit an annual report prior to the last scheduled meeting of the General Faculty.

AC: 03/15/1976  
amended AC: 11/02/1992

### Reminders to Committee Chairpersons:

The Secretary of the General Faculty shall remind the chairs of Faculty Committees that they must report all pertinent recommendations promptly to the Academic Council.

AC: 04/05/1993  
AC: 03/07/2011

### Recognition of Twenty-five Years of Service:

The Secretary of the General Faculty is requested to include on the agenda of the last meeting of the General Faculty a moment to recognize those faculty who are celebrating their 25th anniversary of service to our University.

AC: 05/01/1995



## 12. Items related to Faculty Rights and Benefits

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### Faculty Services:

The Council affirms the interpretation in all of Chapter III of the Faculty Handbook that "provides" implies without charge to the faculty and the University may not charge faculty for use of office space, parking, mail boxes, tickets to University sponsored events, use of the Faculty Dining Room, academic gowns, or interlibrary loan.

AC: 03/01/1993  
amended AC: 03/07/2011

### Policy on Institutional Support for Leaves for Extraordinary Faculty Research:

Whenever possible, but within the limits of its resources, Fairfield University will offer financial and institutional support to any faculty member, tenured or tenure-track, who is awarded a major fellowship (American Council of Learned Societies, Fulbright, National Endowment for the Humanities, National Science Foundation, etc.). The university will contribute the difference between the monies of such a fellowship and a faculty member's annual salary, as well as the faculty member's full annual benefits package, so that he or she may take advantage of a full year's leave for research without financial loss. This leave time and institutional support will have no direct bearing on the faculty member's cycle of eligibility for sabbatical leave. Whenever possible, faculty members are expected to make a reasonable effort to link an application for such a fellowship to the time of their sabbatical leave.

AC: 12/02/1991

### Policy on Release Time for Extraordinary Faculty Research:

Fairfield University will negotiate a reduced teaching load with any faculty member, tenured or tenure-track, who is awarded a major research grant from a peer-reviewed funding agency (NSF, NIH, NOAA, DOE, etc.), whenever that grant is of sufficient complexity and involves enough faculty responsibilities to justify release time. Release time must be concurrent with the funded period of research. This release time will have no direct bearing on the faculty member's cycle of eligibility for sabbatical leave. In applying for such grants, faculty are expected to consider the importance of requesting salary recovery funds from the granting agency. Whenever possible, faculty members are expected to make a reasonable effort to link the period of funded research to the time of their sabbatical leave if multiple-year funding is available.

AC: 12/02/1991

### Faculty Admission to University Courses:

I. Tuition is remitted for full-time faculty when they wish to take courses sponsored in whole or part by the University. In some cases, tuition remission is governed by conditions, as follows:

1. For most courses offered by the University, the only condition is the completion of the proper tuition remission and registration forms.

2. For courses in which there are limitations on enrollment based on physical requirements (e.g., limited number of lab stations), faculty may enroll on a space-available basis after regular full-time and part-time students.
  3. For courses offered under a "contract" fee structure, faculty participation is contingent upon funding from some source; faculty will then have access to the course on an equal basis with anyone else.
- II. Fees others than tuition are the responsibility of the faculty member.
- III. Funding for "contract" courses (I.3 above) is to come from University sources.
- AC: 05/16/1988

University Admissions and Tuition Policy: See Appendix 23.

Illness/Disability Policy:

The University will provide full salary and benefits for up to six (6) months of absence due to disabling illness, injury, pregnancy, childbirth or related conditions. Any faculty member who anticipates an extended disability absence will inform his/her Dean as soon as possible indicating the anticipated commencement and, whenever possible, the anticipated duration of the period of absence. The University may require medical certification in cases of recurring absences, or for absences lasting longer than a month.

The period of recovery due to a normal childbirth is presumed to be six weeks. The University may require medical certification for absences in excess of six weeks.

The University's total Disability Plan provides benefits for serious and long-term illness/injury after six months, subject to the terms of the Plan. Faculty members are expected to apply for and avail themselves of the Plan where appropriate.

Work-related injuries are covered by Worker's Compensation.

AC: 09/09/1991

Faculty Maternity Policy:

Faculty members whose maternity disability leave occurs at a time during the semester that would interfere significantly with their teaching (normally considered to be a period of absence of three or more weeks) shall be released by the appropriate Dean from teaching responsibilities for the semester. During that time, full pay and benefits will be continued. Faculty will be expected to work on projects and to fulfill other responsibilities congruent with their role at the expiration of their maternity leave.

AC: 04/27/1992

Academic Freedom and Computer Networks:

Freedom of inquiry and expression by faculty and students are fundamental to the operation of a university. The faculty recognizes global computer networks as having joined the print and broadcast media for such inquiry and expression.

While academic freedom carries with it a responsibility, expression should not be subject to prior censorship and restrictions should be reserved for grievous violations of the law or academic standards. Such restrictions should be enforced only after a clearly defined due process procedure and based on clearly stated criteria. Within the academic sector the final judgment should rest with a body dominated by faculty who enjoy the protection of tenure.

Academic departments have primary control of and responsibility for their laboratory and computing equipment.

AC: 02/05/1996

AC: 03/07/2011

Privacy and Faculty Office Space:

Fairfield University recognizes the privacy of faculty offices. University personnel will not enter faculty offices without permission except for normal cleaning, maintenance and emergency or as noted below.

Should there be a need to access academic records during a period when a faculty member is incapacitated or otherwise unable to grant permission, the Department Chair or Dean will contact a member of the faculty's immediate family and ask that she/he accompany them while retrieving such records.

In the case of the death of a faculty member, the Department Chair or Dean will contact the immediate family and arrange for suitable time, within two months, to empty the office of personal effects. The family will be offered the option of having a second colleague of their choosing present. The University will arrange for the packing and shipping of personal belongings in the office. Should a member of the family not be available within the two months, the Department Chair or Dean will arrange for emptying the office and shipping of personal belongings.

AC: 09/12/1994

AC: 04/04/2011





## **APPENDIX 1:**

### **GUIDELINES AND PROCEDURES FOR SUBMISSION OF NEW PROGRAM PROPOSALS**

The Academic Council, with the consultation of representatives from the Undergraduate Curriculum Committee, the Educational Planning Committee, and the Graduate School of Education, has prepared the following guidelines to aid faculty in the development of proposals for new schools, degree programs, majors, concentrations, and minors.

**Routing Procedure:** All new programs must follow the routing procedures published in the Journal of Record.

At each step along this route the minutes or letter of support of the body should be attached to the proposal so that the next committee understands the thinking and action of previous committees.

**GUIDELINES.** All new programs should prepare their proposals in the following format, doing their best to answer the following questions:

- 1. Description, overview, and summary** of proposed new program, major, minor, or concentration.
- 2. Need.** Explain why the new program is needed at Fairfield University, e.g. student driven, faculty driven, special interest.
- 3. Rationale.** Discuss the reasons for the program, rationale how it meets the mission of Fairfield, and its particular place in the curriculum.
- 4. Objectives.** What does the program seek to accomplish?
- 5. Impact.** what program(s) if any, will this replace? How will it impact current programs in your discipline or other disciplines? How will it impact the core curriculum? How will it overlap other programs?
- 6. Program Detail.** List approved courses required or recommended, discuss course sequence and reasons for including courses. Include other programmatic detail not specifically course-related, such as internships, special university events, etc. Any new courses proposed must be fully detailed, including description, rationale, draft syllabus.
- 7. Administrative Structure and Governance.** What faculty grouping has control over curriculum and course development? What individuals have administrative authority? What is the proposed "chain of command"?

**8. Resources.** List personnel, space, resources; Library ~ both in terms of resources AVAILABLE and resources NEEDED. Prepare a proposed draft yearly budget. Also consider OPPORTUNITY COST. What other programs would the university, or your curricular area, have to sacrifice or delay in order to implement this program?

**9. Projections for the Future.** What are your anticipated plans for this program down the line: two years? five years? When and how will you evaluate its effectiveness?

AC: 10/2/95

## APPENDIX 2:

### Guidelines for the Routing and Approval of Proposed Course/Program Revisions in the Undergraduate Divisions

The general principles for the following guidelines are the following:

The person making a proposal (or one person from among those making a proposal) shall act as a “manager” for the proposal, who will:

- see that the proposal moves forward from committee to committee;
  - provide each committee chair in a timely fashion with copies of the proposal and appropriate documentation (including relevant excerpts of minutes of committees that have already approved the proposal);
  - be present at committee meetings as needed to answer questions.
- 
- Faculty review (at more than one level of responsibility) is required for all course/program revisions.
  - EPC review is required if new resources are required.
  - Moreover, UCC review is required for:
    - a. all new programs, or changes in programs involving interdisciplinary or inter-school relationships; and
    - b. all changes having impact upon the present Core Curriculum.
  - Academic Council review is required of all EPC and UCC recommendations on curriculum policy.

#### 1. New Courses - Within the Same School

Included here are any course or program changes internal to a department or school, including new interdisciplinary courses.

1. Curriculum Area Chair to
2. School Curriculum Committee or Faculty of School to
3. Dean

#### 2. New Inter-School Courses

1. Curriculum Area Chair(s) to
2. School Curriculum Committee(s) or Faculty of School(s) to
3. Dean(s) to
4. UCC

#### 3. Formation or Dissolution of Degree Programs, Majors, Concentrations, and Minors

1. Curriculum Area Chair(s), where appropriate, to
2. School Curriculum Committee(s) or Faculty of School(s) to

3. Dean(s) to
4. UCC to
5. EPC to
6. Academic Council

4. Formation or Dissolution of Schools

1. UCC to
2. EPC to
3. Academic Council to
4. General Faculty

5. Courses/Programs seeking Grant Support, or Involving Other Universities, or Having Impact Outside F.U.

The routing to be followed is the same as for "New Inter-School Courses," except that the Senior Vice-President for Academic Affairs must also review the proposal.

6. Changes in Core Requirements

Included here also are those situations where groups of students are to be excused from some part of the Core requirements, and those situations where courses are offered by one curriculum area but receive Core credit in another curriculum area.

[Note: Individual student exceptions to the Core requirements would continue to be made upon the advice of the Faculty Advisor to the Dean of the appropriate School.]

1. Curriculum Area Chair or faculty member to
2. Core Reviewing Unit to
3. UCC

7. Changes in School or University Degree Requirements:

1. School Curriculum Committee(s) or Faculty of School(s) to
2. Dean(s) to
3. UCC

CR: 9/14/87  
corrected AC: 2/1/88  
amended AC: 12/04/2000  
Formatting corrected by GFS: 7/2006  
amended: 02/26/2012  
amended AC: 05/14/2012

## APPENDIX 3:

### Guidelines for the Routing and Approval of Graduate Course/Program Revisions

The general principles for the following guidelines are the following:

The person making a proposal (or one person from among those making a proposal) shall act as a “manager” for the proposal, who will:

- see that the proposal moves forward from committee to committee;
  - provide each committee chair in a timely fashion with copies of the proposal and appropriate documentation (including relevant excerpts of minutes of committees that have already approved the proposal);
  - be present at committee meetings as needed to answer questions.
- Faculty review (at more than one level of responsibility) is required for all course/program revisions.
  - EPC review is required if new resources are required.
  - Academic Council review is required of all EPC recommendations on curriculum policy.

#### 1. New Courses - Within the Same School

1. Curriculum Area Chair to
2. School Curriculum Committee or Faculty of School to
3. Dean

#### 2. New Inter-School Courses

1. Curriculum Area Chair to
2. School Curriculum Committee(s) or Faculty of School(s) to
3. Dean(s)

#### 3. Formation or Dissolution of Degree Programs, Majors, Concentrations, and Minors

1. Curriculum Area(s), where appropriate to
2. School Curriculum Committee(s) or Faculty of School(s) to
3. Dean(s) to
4. EPC to
5. Academic Council

#### 4. Formation or Dissolution of Schools

1. EPC to
2. Academic Council to
3. General Faculty

5. Courses/Programs seeking Grant Support, or Involving Other Universities, or Having Impact Outside F.U.

The routing to be followed is the same as for "New InterSchool Courses," except that the Provost and the Academic Vice-President must also review the proposal.

6. Changes in Degree Requirements:

1. Curriculum Area Chair(s) to
2. School Curriculum Committee(s) or Faculty of School(s) to
3. Dean(s)

AC: 4/25/88  
Amended, AC: 12/4/2000  
Formatting corrected by GFS: 7/2006

## Appendix 4:

### Guidelines for Review of Programs

When new programs<sup>1</sup> are approved, the approval usually calls for a review of the program after a stated number of years. The following guidelines are based on the procedures for the approval of new programs published in the *Journal of Record*. Their purpose is to provide a structure for the faculty teaching in the program to carry out the review, and to inform relevant committees of its results.

*In submitting your report for review, please also include a copy of the original proposal for reference purposes.*

1. Have there been any significant changes in the program? If so, what were they? Why were they made?
2. Need. How many students have graduated with an official major and/or minor from this program and how many are currently officially enrolled? (Please provide documentation.)
3. Objectives.
  - a. What are the objectives being measured?
  - b. How are you measuring the outcomes of those objectives?
  - c. How are you meeting those objectives?
  - d. How does your program help to fulfill the University's mission?
4. Impact. What impact has your program had on your students and on the University? Has the program had an impact on other programs in your discipline or other disciplines? If so, has this impact been favorable or unfavorable?
5. Administrative Structure and Governance. Have there been any changes in the administrative structure and governance of the program? If so, what have they been, and why were they made?
6. Resources. What are your current resources, and how are they being used? Has the program had any problem in obtaining necessary resources (personnel, space, financing, etc.)? If so, what effect has this had on the program? Please attach a budget sheet that describes your use of funds.

Routing procedure sequence for review of programs:

- 1) School curriculum committee
- 2) UCC (if applicable)
- 3) EPC
- 4) Academic Council

<sup>1</sup> “Program” is used here to refer to majors, minors, concentrations and programs

AC 4/4/2005



**Appendix 5:  
Timetable and Guidelines for Tenure and Promotion**

**FAIRFIELD UNIVERSITY  
COMMITTEE ON RANK AND TENURE  
GUIDELINES FOR APPLICATIONS**

**Introduction**

The Faculty Handbook defines the basic requirements upon which the Committee on Rank and Tenure formulates its recommendations. In preparing a dossier and supporting documentation, a candidate's principal obligation is to present coherently and document substantially his or her case for promotion and/or tenure. The dossier should be organized in such a way that readers are helped to understand and interpret the data presented in support of one's teaching, service, scholarly or creative work, and other professional activities and accomplishments. These guidelines are meant to assist faculty in organizing and developing a dossier which meets the Handbook objectives. Not all of the recommendations contained in these guidelines are pertinent to each application. Candidates will judge which materials are appropriate for them.

The Committee on Rank and Tenure requests that the completed dossier and supporting documents be submitted to the head of the candidate's curriculum area by the date noted on the appended timetable. The University considers the materials contained in the applicant's Rank and Tenure file to be confidential. The Rank and Tenure file consists of the applicant's dossier, the applicant's supporting documentation and the letters.

**OUTLINE AND GUIDELINES FOR APPLICANT'S DOSSIER**

**I. Table of Contents**

Include not only the contents of the dossier, but the contents of the appendices and other supporting documents as well.

**II. Background Data**

- A. Name
- B. Application for tenure or promotion
- C. Education (chronological)
- D. Academic appointments/promotions (chronological)
- E. Other background experience related to current position

Include information on experience related to current position, such as clinical appointments, consultantships, positions in museums, the theater, and the like.

**III. Curriculum Vitae**

**IV. Detailed Statement of Case for Promotion or Tenure**

This statement should give focus to the strengths of the application, specifically indicating how the application satisfies the requirements in the Faculty Handbook for promotion or tenure.

**V. Teaching Accomplishments Since Initial Promotion or Appointment to Present Rank**

**A. Courses taught at Fairfield University**

Identify and describe new ones developed.

**B. Teaching evaluation**

i. Peer review - The applicant is encouraged to request colleagues with firsthand experience of his/her teaching ability to submit written reports based on these observations. Colleagues may wish to address differences between their perceptions of candidate's teaching and student perceptions if the student perceptions are known to the colleague.

ii. Student Evaluation Summary - If student evaluations are submitted as supporting materials, a summary of the student rating must appear in this section of the application. Sufficient information about the evaluation instrument (especially a department or personal form) and results must be provided to enable the committee to make an informed decision.

iii. Teaching Awards or Citations

**C. Description of involvement in curriculum development and enhancement**

The candidate may include information about innovations in teaching.

**D. Student advising**

**E. Student supervision**

Include activities such as independent studies, academic student organizations, student teacher/clinical supervision and the like.

- F. Participation in courses/seminars of other faculty

**VI. Professional Accomplishments Since Initial Promotion or Appointment to Present Rank**

**A. A list of publications**

If a publication has multiple authors, explain your contribution to the publication.

The Faculty Handbook emphasizes the importance of peer review. For each category in this section, explain the review process. Include both what was reviewed (a complete paper? an abstract for a paper? a draft of a book?) as well as who reviewed the work (double-blind referees? an editor? the conference organizers?). If possible, describe how competitive was the selection process.

In addition to publications that have appeared in print, include in this section accepted publications not in print with a letter of verification from the editor stating that the publication is accepted unconditionally, or accepted pending relatively straightforward revisions. If, in a previous application, a publication has been listed as accepted but not in print, that fact should be noted in this section.

1. Books and chapters of books  
Include published reviews or publisher reviews and/or letters of evaluation.
2. Professional refereed journal papers
3. Professional refereed conference proceeding papers
4. Professional non-refereed journal papers
5. Other publications (magazines, etc.)
6. Book reviews and short notes

**B. Accomplishments other than publications**

In fields where publications are not the primary expression of professional achievement use this section to explain those activities. These may include art exhibits, performances, movies or plays written or directed, and so on.

The Faculty Handbook emphasizes the importance of peer review. In each case, explain the review process, including what was reviewed (an artwork? a proposal

for an exhibit? a draft of a novel or a complete novel?), and who did the review. If possible, describe how competitive was the selection process.

C. **Professional presentations**

Include information such as the date of the presentation, location, to whom, and the topic.

Note whether presentations were to international, national, regional, or local groups, as well as indicating the prestige of the groups addressed.

Indicate whether each address was invited, submitted and refereed, or submitted and non-refereed. Explain what was reviewed (a complete paper? an abstract?) as well as how the review process worked.

D. **Professional honors and/or awards**

E. **Professional contributions/service**

Describe contributions to scholarly associations such as official positions, editorship of journals and review/referee work and committee work.

F. **Sponsored research** (grants)

Please also list applications for grants

G. **Consultantships**

H. **Presentations on media or to a community and non-professional groups**

Present all relevant data.

VII. **University and/or Community Service Since Initial Promotion or Appointment to Present Rank**

A. **Service to Student Organizations**

B. **University Committees**

For Standing and Ad Hoc committees, list dates of service, name of committee(s) and position(s) held

C. **School or Departmental Committees**

List dates of service, name committee(s) and position(s) held

D. **Other Service to University**

For example, organizing art exhibits, lecture series, faculty seminars, and the like.

E.      **Service to Non-University Community**

NOTE: Please use Areas V., VI., and VII. as models for Areas VIII., IX., and X.

VIII.   **Teaching Accomplishments Prior to Promotion or Appointment to Present Rank**

IX.     **Professional Accomplishments Prior to Promotion or Appointment to Present Rank**

X.      **University and/or Community Service Prior to Promotion or Appointment to Present Rank**

## APPLICANT'S SUPPORTING DOCUMENTATION

1. Student Evaluations - Candidates may submit student evaluations covering semesters of the period under review. The Committee will accept those evaluations at the will of the candidate. A single copy of computer printouts, essay responses, or other substantiating data may be submitted.
2. Publications - Candidates should submit copies of all publications, evidence of artistic accomplishments, reviews of books and papers, etc.
3. Syllabi, tests, or other course materials sufficient to indicate currentness of courses
4. Letters - Applicants will propose a list of five possible external reviewers, accompanied by (1) a short explanation of the applicant's relationship (if any) with the possible external reviewer, and (2) the contact information for each possible external reviewer. The Dean, in consultation with the head of the curriculum area will select at least two external reviewers from the list provided by the applicant and one additional reviewer who may or may not be chosen from the list provided by the applicant. Applicants may also submit a list of non-reviewers who shall not be selected by the Dean and the head of the curriculum area as external reviewers. The Dean will contact the external reviewers. Once it has been confirmed that each external reviewer agrees to write a letter, the Dean will then send the external reviewers applicant's materials supporting professional activities and accomplishments, along with the following materials:
  - a. Background information on Fairfield University.
  - b. A brief description of the Rank and Tenure Committee as a university committee with membership representing the College of Arts and Sciences, School of Nursing, Business School, and the Graduate School of Education and Allied Professions.
  - c. Copy of the official Timetable and Guidelines for Tenure and Promotion.
  - d. Copy of the appropriate pages in the Faculty Handbook (pp. 20-25)
  - e. Specific instructions to assess the professional activities and accomplishments of the applicant with qualitative comments.

This procedure does not preclude or prohibit the applicant from soliciting additional outside letters.

5. Letters - The chairs or heads of the curriculum areas shall include in the supporting documents annual or other reviews by themselves and by the Dean, if such documents are available.

## **TIMETABLE FOR APPLICATION FOR PROMOTION AND TENURE**

1. BY MAY 7: The Rank and Tenure Committee will hold an informal meeting with interested faculty to discuss the guidelines and the application process for tenure and promotion. The meeting will be held on a day when no classes are scheduled.
2. BY MAY 30: The applicant must notify the Dean and the head of the curriculum area (normally the department chair) of his/her intent to apply for promotion or tenure. Applicants will propose a list of five possible external reviewers, accompanied by (1) a short explanation of the applicant's relationship (if any) with the possible external reviewer, and (2) the contact information for each possible external reviewer. The Dean, in consultation with the head of the curriculum area, will select at least two external reviewers from the list provided by the applicant.
3. By JULY 15: The Dean will ascertain the willingness of the external reviewers to provide a letter for the applicant and notify the applicant.
4. By AUGUST 1: The applicant will provide the Dean with materials supporting professional activities and accomplishments to be sent to the external reviewers.
5. By AUGUST 15: The Dean will formally contact the external reviewers to solicit letters on behalf of the applicant and send the applicants' materials supporting professional activities and accomplishments, along with the following materials:
  1. Background information on Fairfield University.
  2. A brief description of the Rank and Tenure Committee as a university committee with membership representing the College of Arts and Sciences, School of Nursing, School of Business, and the Graduate School of Education and Allied Professions.
  3. Copy of the official Timetable and Guidelines for Tenure and Promotion.
  4. Copy of the appropriate pages in the Faculty Handbook.
  5. Specific instructions to assess the professional activities and accomplishments of the applicant with qualitative comments.
6. BY SEPTEMBER 15: The applicant will provide the appropriate faculty (normally within the department) with one copy of the dossier and supporting documentation. Dossiers and notebooks (3 ring binders) will not be returned, therefore, please put any original journal articles or papers, etc., with the supplementary materials.
7. BY OCTOBER 15: Outside letters should be addressed to and received by the Dean. The Dean shall provide copies to the head of the curriculum area. The applicant should check with the Dean to verify that the letters have been received.

8. BY NOVEMBER 8: The appropriate faculty, normally those with rank at or above the rank sought by the applicant, should send nine (9) copies of their letter assessing the dossier directly to the office of the Dean.
9. BY NOVEMBER 15: The head of the curriculum area should forward nine (9) copies of his/her letter, the applicant's dossier and supporting documentation to the Dean's office.
10. BY DECEMBER 1: The applicant should supply eight (8) additional copies of the dossier only directly to the Office of the Senior Vice President for Academic Affairs.
11. BY DECEMBER 15:
  - a. The Dean will attach his/her letter and forward the applicant's file, including the dossier, faculty letters, outside letters and supporting documentation to the Office of the Senior Vice President for Academic Affairs.
  - b. The Office of the Senior Vice President for Academic Affairs will have a copy of the Rank and Tenure file available for each member of the Committee. This file will then be closed, except for information not reasonably obtainable at that time. The Committee will not consider incomplete applications.
12. BY FEBRUARY 15: A Committee recommendation for or against promotion or tenure will be forwarded to the applicant. Applicants may discuss reasons for the negative recommendation with the Academic Vice President.
13. BY MARCH 1: Appeals must be filed by the applicant in the Office of the Academic Vice President with rationale clearly stated. Additional information or clarification shall be submitted at this time. The Applicant will supply the Dean and appropriate faculty with this material for comment. The Dean and the appropriate faculty will provide these comments to the Office of the Academic Vice President by March 10.
14. BY APRIL 1: The Committee recommendation for or against the appeal will be forwarded to the applicant. The Committee recommendations for all applicants will be presented to the President. The Academic Vice President will make his/her recommendation to the President and provide the Committee with a copy.
15. BY APRIL 15: The applicant will be notified of the final decision.
16. An applicant may request written reasons for denial of promotion or tenure from the Administration in accord with the Faculty Handbook. That request should be presented to the Academic Vice President.



## IMPLEMENTATION OF NEW POLICIES ON RANK AND TENURE

1. All procedural changes, such as the composition of the committee and the sequences of actions and appeals, will become effective September 1, 1993.
2. All faculty hired after September 1, 1992 will be subject to the new criteria.
3. All faculty hired on or before September 1, 1992 will have the following options:
  - a. Tenured faculty applying for promotion in 1993-94 or 1994-95 may indicate a wish to be judged according to the old criteria (Faculty Handbook, 8th edition), by notifying their Chair/Coordinator, Dean and the Academic Vice President by September 15 of the year in which they will initiate the application. After September 1, 1995, all promotion decisions for tenured faculty will be based on the new criteria.
  - b. Untenured faculty applying for tenure and/or promotion may indicate a wish to be judged according to the old criteria (Faculty Handbook, 8th edition), by notifying their Chair/Coordinator, Dean and the Academic Vice President by September 15 of the year in which they will initiate the process. This option will remain available to untenured faculty until such times as they receive tenure or are issued a terminal contract.

AC: 10/1/84  
amended AC: 10/6/86  
amended AC: 5/15/89  
amended AC: 5/2/94  
amended AC: 12/11/95  
amended AC: 5/15/96  
amended AC: 5/1/00  
amended AC: 5/17/00  
amended AC: 5/7/01  
amended AC: 5/6/2002  
amended AC: 3/6/2006  
amended AC: 5/19/2010 and 11/1/2010  
amended AC: 5/25/2010



## **Appendix 6: Guidelines for Sabbatical Proposals**

### **FAIRFIELD UNIVERSITY FACULTY RESEARCH COMMITTEE GUIDELINES FOR SABBATICAL**

#### **INTRODUCTION**

The Faculty Research Committee seeks to recognize the difference between persons, backgrounds, disciplines, orientations, and the possibilities of novel projects in its consideration of proposed sabbatical projects. In evaluating proposals, the committee may consult with appropriately knowledgeable persons inside and outside the university. The committee provides these general norms to assist faculty in drafting their sabbatical proposals and to guide the committee in evaluating the merits of proposed projects.

#### **PURPOSE**

The sabbatical leave affords the faculty member a release from normal teaching duties to pursue activities that will benefit the individual and the university. Such activities may include intensive research and/or writing in one's discipline, academic renewal in one's field, retraining in a different field or methodology related to the person's professional and/or teaching area, training to improve teaching methods, and developing programs that would be of benefit to the university.

#### **DEADLINE FOR APPLICATION**

The deadlines are generally November 1 (for the applicant), November 7 (for the Department Chair), November 15 (for the Dean) and published each year by the Research Committee. Applicants must submit their completed proposal and 6 additional copies to the Department Chair. The Department Chair must submit his/her letter of recommendation and the proposal to the Dean. The Dean must submit his/her recommendation, the Department Chair's recommendation, the original proposal and 6 copies to CNS 300 c/o the Chair of the Faculty Research Committee.

#### **CONDITIONS OF ELIGIBILITY**

The applicant must meet the university and departmental criteria for sabbatical leave release as stated in the latest edition of the Faculty Handbook or amendments thereto (II.B.2.a). In particular, applications for either or both semesters of an academic year must be submitted in November of the previous academic year.

Projects that emphasize scholarly research should have value not only to the individual, but should ensure an advance in knowledge in the field, and should have potential for scholarly publication.

Projects that emphasize artistic creativity such as painting, sculpture, musical composition, writing of poetry, drama or fiction, or similar endeavors, should have a reasonably direct relation to the person's discipline and be subject to evaluative norms of the profession.

Projects that emphasize professional development should clearly show promise of improved performance in one's teaching and/or professional responsibilities.

Projects that emphasize community service may be considered, where such projects would be of exceptional value to the individual's professional responsibilities, or to the university, or to the broader community.

## **RESOURCES**

The proposed project should demonstrate a reasonable expectation of completion or substantial progress. The applicant should give evidence of the following:

The proper prerequisites to carry out the project.

The resources that are necessary for successful completion. Such resources may include research materials, library collections, laboratory facilities, computer facilities, etc.

The necessary approval and support of the host institution for work to be undertaken at another institution. Explain in detail the resources and facilities offered by the host institution.

## **PROCEDURE**

Check the Faculty Handbook for eligibility.

Consult with department chairperson for planning and evaluation of the proposed project so that the completed application is submitted to the Research Committee by November 15.

## **FORMAT**

Proposals should be submitted according to the following format:

The format is intended to provide the committee with the information necessary for evaluation. It is important that the applicant provide complete and specific information about the project itself, its importance to the applicant's professional life, and its value to the university.

The proposal should use language appropriate to the discipline, but should also use language that clearly communicates to the committee the subject matter, the plan, and the methods involved.

Failure to follow these guidelines and timetable will result in non-review of the application.

An original and 6 copies are required.

### **REVIEW**

If the applicant has not followed the guidelines approved by the faculty, or does not follow the timetable specified in the Faculty Handbook, the application will not be further considered.

If, after first review, the application is deemed to have merit, but is judged by the committee to be deficient in some area, the applicant may be asked to submit additional data for reconsideration.

### **PROPOSAL**

The proposal should be presented in a manner so that persons not acquainted with the field could understand and evaluate the project. Please include the following information:

1. Name
2. Date
3. Department
4. Rank
5. Date of initial appointment and date of tenure
6. Date of prior sabbatical (Append a copy of prior sabbatical, pre-tenure and research leave reports).
7. Period of proposed sabbatical.
8. Title of sabbatical project.
9. Short project summary (Indicate focus of project: research, teaching, professional development, community service.)
10. Benefit of the project to the university.
11. Detailed description of proposed project. Indicate resources necessary for completion and any related work already done.
12. Relevant bibliography
13. Comments.
14. IRB review, if applicable

15. Curriculum Vitae (The curriculum vitae should reflect applicant's record of teaching, research, and service.)

16. Letters of recommendation from Department Chair (see attached for recommendation guidelines.)

### **REPORTING REQUIREMENT**

Final report is due six months following the end of the sabbatical leave.

Final report is sent to Faculty Research Committee Administrative Liaison, CNS 300.

Copies of final report are sent to Academic Vice President, applicant's Dean and applicant's Chair.

FAIRFIELD UNIVERSITY FACULTY RESEARCH COMMITTEE  
LETTERS OF RECOMMENDATION GUIDELINES

The letters must:

Explain to the Faculty Research Committee the significance of the applicant's research and its relevance to the purposes of the department/program area.

Document the applicant's previous analytical or creative research activity

Mention the contributions the applicant is likely to make to the department/program area through scholarly publications and teaching, and

Support the applicant's reasonable expectations that the proposed work will be completed as stated in the proposal.

Indicate how the department will cover the applicant's teaching while on sabbatical.

The Department Chair's letter must be able to support the applicant's candidacy in language that is comprehensible to the Faculty Research Committee members who come from various disciplines.

AC: 05/15/1989

AC: 11/03/2003

AC: 03/01/2004

AC: 09/11/2006

AC: 04/30/2007





## **Appendix 7:**

### **Pre-Tenure Research Leave Program – Application Guidelines**

<p style="text-align: center;"><b>FAIRFIELD UNIVERSITY FACULTY RESEARCH COMMITTEE GUIDELINES FOR PRE-TENURE RESEARCH LEAVE</b></p>
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#### **INTRODUCTION**

The Faculty Research Committee invites applications from untenured, tenure-track faculty, for Pre-Tenure research leaves. The leave will be for one semester of the third or fourth year, at full pay. The award may not be used for work connected to the completion of doctoral studies. The semester will count toward the normal probationary period for tenure. The leave must be completed before the academic year in which the faculty member applies for tenure.

#### **PURPOSE**

The pre-tenure leave affords the untenured faculty member a release from normal teaching duties in order to pursue activities that will be beneficial to the faculty member's long term plans for research and scholarly activity, including, but not restricted to, intensive research, writing in one's field or artistic creativity.

#### **DEADLINE FOR APPLICATION**

The deadlines are generally November 1 (for the applicant), November 7 (for the Department Chair), November 15 (for the Dean) and published each year by the Research Committee. Applicants must submit their completed proposal and 6 additional copies to the Department Chair. The Department Chair must submit his/her letter of recommendation and the proposal to the Dean. The Dean must submit his/her recommendation, the Department Chair's recommendation, the original proposal and 6 copies to CNS 300 c/o the Chair, Faculty Research Committee.

#### **CONDITIONS FOR ELIGIBILITY**

All untenured, tenure-track faculty in their second or third consecutive year of full-time teaching at Fairfield University are eligible to apply for the research leave.

Projects that emphasize scholarly research should have value not only to the individual, but should ensure an advance in knowledge in the field, and should have potential for scholarly publication.

Projects that emphasize artistic creativity such as painting, sculpture, musical composition or performance, writing of poetry, drama or fiction, or similar endeavors, should have a direct relation to the person's discipline and be subject to evaluative norms of the profession.

## **RESOURCES**

The proposed project should demonstrate a reasonable expectation of completion or substantial progress. The applicant should give evidence of the following:

The proper prerequisites to carry out the project

The resources that are necessary for successful completion of the project

Such resources may include research materials, library collections, laboratory facilities, computer facilities, etc.

The necessary approval and support of the host institution for work to be undertaken at another institution (explain in detail the resources and facilities offered by the host institution).

## **PROCEDURE:**

1. Prospective applicants should inform the Department Chair of their intention to apply for a Pre-Tenure research leave as soon as possible. Applications for this award must be made by the deadline printed above of the second or third year of full-time teaching at Fairfield, for leave during either the fall or spring semester of the third or fourth year.
2. Application for a Pre-Tenure research leave is made by submission of a proposal to the Faculty Research Committee by the deadlines listed above.
3. The Research Committee will review the applications and make recommendations to the Academic Vice-President.
4. In the event that there are more qualified applicants than it is possible to allow pre-tenure leaves in any particular year, preference will be given to those applying in their third year for a leave in their fourth year.
5. Ten semesters of active service at Fairfield University must elapse after completion of a pre-tenure research leave before the faculty member is eligible for their first sabbatical leave.

## **FORMAT**

Proposals should be submitted according to the following format:

The format is intended to provide the committee with the information necessary for evaluation. It is important that the applicant provide complete and specific information about the project itself, its importance to the applicant's professional life, and its value to the university.

The proposal should use language appropriate to the discipline, but should also use language

that clearly communicates to the committee the subject matter, the plan, and the methods involved.

Failure to follow these guidelines or timetable will result in non-review of the application.

An original and 6 copies are required.

**PROPOSAL:**

The proposal should be presented in a manner so that persons not acquainted with the field could understand and evaluate the project. Please include the following information:

1. Name
2. Date
3. Department
4. Rank
5. Date of initial appointment
6. Year of proposed research leave, and preferred semester
7. Title of project
8. Short summary
9. Detailed description of proposed project (indicate resources necessary for completion and any related work already done)
10. Benefit of the project to the university
11. Relevant bibliography
12. Additional Comments
13. IRB review, if applicable
14. Curriculum vitae (the curriculum vitae should reflect the applicant's record of teaching, research, and service).
15. Letters of recommendation from Department Chair and Dean (see attached for recommendation guidelines)

**REPORTING REQUIREMENT**

Final report is due six months following the end of the pre-tenure research leave.

Final report is sent to the Faculty Research Committee Administrative Liaison, CNS 300.

Copies of final report are sent to the Academic Vice President, the applicant's Dean, and the applicant's Department Chair.

<p style="text-align: center;"><b>FAIRFIELD UNIVERSITY FACULTY RESEARCH COMMITTEE</b> <b>LETTERS OF RECOMMENDATION GUIDELINES</b></p>
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The letter must:

Explain to the Faculty Research Committee the significance of the applicant's research and its relevance to the purposes of the department/program area,  
Document the applicant's previous analytical or creative research activity,  
Mention the contributions the applicant is likely to make to the department/program area through scholarly publications and teaching, and  
Support the applicant's reasonable expectations that the proposed work will be completed as stated in the proposal.

The Department Chair's letter must be able to support the applicant's candidacy in language that is comprehensible to the Faculty Research Committee members who come from various disciplines.

AC: 11/13/1995  
AC: 11/03/2003  
AC: 03/06/2006  
AC: 09/11/2006  
AC: 04/30/2007



**Appendix 8:**  
**Summer Research Stipend – Application Guidelines**

**FAIRFIELD UNIVERSITY FACULTY RESEARCH COMMITTEE**  
**Guidelines for Summer Research Stipends**

**INTRODUCTION**

The Faculty Research Committee invites applications from tenured and tenure-track faculty from all academic disciplines for a Summer Research Stipend. The program will fund grants of \$3,500 each.

**PURPOSE**

The purpose of the Summer Research Stipends Program is to support tenure-track or tenured faculty members during the summer for a concentrated period of research and writing

**DEADLINE FOR APPLICATIONS**

The deadline is generally January 20. Applicants must submit their completed proposal and 6 additional copies to CNS 300 c/o the chair of the Faculty Research Committee by 4:30 p.m. on the deadline announced. It is the candidate's responsibility to submit completed applications by the due date and time at the appropriate office.

**CONDITIONS OF ELIGIBILITY**

All tenure-track or tenured faculty are eligible for the summer research stipends.

Awards will be made on the following conditions:

- professors approved for Summer Research Stipends must teach no more than one summer session course or engage in more than the normal (academic year) one-day-per-week consultative activities during the period from May 30 to August 30;
- professors approved for Summer Research Stipends cannot have duplicate funding that pays for time for the same or a similar project;
- Projects that involve human subjects must be approved by the Institutional Review Board; and the applicant must have filed all required reports on prior committee research grants, summer stipends, and sabbaticals.

Applications from faculty falling into the following four categories will be considered only if there is not a sufficient number of high quality applications: faculty members (1) who held Summer Research Stipends during the previous summer's period, or (2) who were approved for a sabbatical leave, (3) who were approved for a pre-tenure research leave, or (4) who received the Robert Wall Award for the two academic years contiguous with that summer. Members of the Faculty Research Committee are not eligible to apply during their term in order to avoid conflict of interest.

## PROPOSAL

Information required in the application is described below. The proposal should be presented in a manner so that persons not acquainted with the field could understand and evaluate the project. The completed application should be sent to CNS 300 c/o the Chair of the Faculty Research Committee.

1. Name
2. Date
3. Department
4. Title of project
5. A Statement of the research problem (or scholarly project) and its importance. The general nature of the problem should be described, as well as the manner of its investigation. The importance of the problem should be discussed, and its relevance to the investigator's long-term research plans explained. A brief description of related work by the applicant should also be included.
6. Plan or Procedure. The tasks to be performed should be described and the expected results should be outlined in detail.
7. Resources. If access to special facilities or resources is necessary, please discuss how this will be provided (special library collections, computer services, instrumentation, etc.).
8. Relevant Bibliography
9. Previous Research Support. If the applicant is receiving research funding in the current academic year or has received research funding for the previous two academic years from internal university sources or from external corporate, foundation, or governmental sources, these should be briefly listed, including the amount of the funding. If any funding requests are pending, these should also be listed.
10. Copies of most recent report(s) from each of the following categories: Sabbatical, Pre-Tenure research leave, Senior Summer Fellowship, Research Grant, and/or Summer Research Stipend.
11. Comments
12. IRB Review, if applicable



13. Curriculum Vitae. (the curriculum vitae should reflect the applicant's record of teaching, research, and service)

#### REVIEW AND EVALUATION

Applications are reviewed by the Faculty Research Committee. When the Committee members do not deem themselves qualified to judge the merit of a proposal, consultation with other educators may be undertaken. **When ranking two or more proposals of equal merit, the Faculty Research Committee will privilege the applicant who has not received previous funding.** Decisions of the Research Committee shall be final.

#### ANNOUNCEMENT OF AWARDS

Although stipends shall be announced to the academic community, the members of the Committee will consider the names and applications of those who have been denied to be confidential information. Awards for Summer Research Stipends will be announced on or about February 15.

#### REPORTING REQUIREMENT

Final report is due March 1, following receipt of the award.

Final report is sent to Faculty Research Committee Administrative Liaison, CNS 300.

Subsequent updates on the published disposition of the research are sent to Faculty Research Committee Administrative Liaison, CNS 300.

AC: 02/12/2001

AC: 11/03/2003

AC: 09/11/2006

AC: 04/30/2007

AC: 04/28/2008



**Appendix 9:**  
**Research Grants – Application Guidelines**

**FAIRFIELD UNIVERSITY FACULTY RESEARCH COMMITTEE  
GUIDELINES FOR RESEARCH GRANT**

**INTRODUCTION**

The Faculty Research Committee invites applications from tenure-track and tenured faculty in all academic disciplines for research grants.

**PURPOSE**

The purpose of the Research Grants is to encourage and assist research and scholarly work of all tenure-track or tenured faculty. The maximum grant amount is \$1,000.

**DEADLINE FOR APPLICATIONS**

The deadline is generally March 1. Applicants must submit their completed proposal and 6 additional copies to CNS 300 c/o the chair of the Faculty Research Committee by 4:30 p.m. on the deadline announced. It is the candidate's responsibility to submit completed applications by the due date and time at the appropriate office.

**CONDITIONS OF ELIGIBILITY**

Proposals in all academic areas will be considered.

Special consideration will be given to work in areas where the researcher has not received previous financial support and in disciplines where outside support is limited.

Where possible, results from initial work supported by University funds should be used as a basis for seeking outside support of future work, in cooperation with the Grants Office.

All materials acquired with grant funds become the property of the University.

Members of the Faculty Research Committee are not eligible to apply during their term in order to avoid conflict of interest.

Projects that involve human subjects must be approved by the Institutional Review Board.

**PROPOSALS**

Information required in the application is listed below. The proposal should be presented in a manner so that persons not acquainted with the field could understand and evaluate the project. The completed application should be sent to CNS 300 c/o the Chair of the Faculty Research Committee

1. Name
2. Date
3. Department

4. Title of Project.
5. Purpose and significance of identified area needing funding
6. Plan to accomplish above stated purpose
7. Related work by applicant.
8. Relevant bibliography
9. Previous research support. If the applicant has received previous research funding (grants, etc.), these should be briefly listed, including the amount of the funding. If any funding requests are pending, these should also be listed.
10. Copies of most recent report(s) from each of the following categories: Sabbatical, Pre-Tenure Research leave, Senior Summer Fellowship, Research Grant, and/or Summer Research Stipend.
11. Detailed, itemized budget.
12. Comments.
13. Curriculum Vitae (the curriculum vitae should reflect the applicant's record of teaching, research, and service).

#### REVIEW AND EVALUATION

Applications are reviewed by the Faculty Research Committee. When the Committee members do not deem themselves qualified to judge the merit of a proposal, consultation with other educators may be undertaken. **When ranking two or more proposals of equal merit, the Faculty Research Committee will privilege the applicant who has not received previous funding.** Decisions of the Research Committee shall be final.

#### ANNOUNCEMENT OF AWARDS

Although grants made shall be announced to the academic community, the members of the Committee will consider the names and applications of those who have been denied to be confidential information. Notification of the Committee's decision is generally made within a month after the application deadline.

#### REPORTING REQUIREMENT

Funds can be encumbered for a period of eighteen months after the grant date; however, a brief progress report is expected six months after the grant has been made.

Final report is due at the completion of the project, or after a maximum of two years, whichever is sooner.

Final report is sent to Faculty Research Committee Administrative Liaison, CNS 300 and to the Academic Vice President.

A financial report itemizing spending should accompany the final report.

A statement acknowledging the support of Fairfield University should be included in any publication resulting from such support to be worded in accordance with the procedure of the publisher involved.

## **GUIDELINES CONCERNING RESEARCH GRANTS**

A. Assistance will normally be given on the basis of the merit of the proposal and funds available to assist in defraying costs of the following:

1. Services, equipment, travel, or supplies considered necessary or beneficial for the pursuit of investigations. Examples include:

Microfilm or other reproduction of source materials.

Reasonable travel to libraries or other sources of data. (New York City and New Haven are not included.)

Equipment and/or supplies, and software.

Data collection or other appropriate work by students or technical assistants where payment is a necessity (this does not include payment to such assistants for their research or creative efforts).

Data processing.

2. Preparation of an application for outside support of a project when secretarial help, etc., are not available through normal University channels.

B. Normally, the Research Committee will not consider support in the following areas, although the University may wish to support them (or already does) through other means and channels (inquiries should be made to the Academic Vice President for action or referral where alternate procedure is not clear):

Research and/or manuscript preparation which is directed toward an advanced degree.

Attendance or presentations at conventions, conferences, group meetings, etc.

Classroom notes. (However, after use has made it clear that these notes have begun to take the form of a text, which may be of interest to a publisher, consideration can be given. The problem of royalties in such cases is a complicating factor that may have to be considered.)

Actual publication costs in a scholarly journal.

Research previously conducted.

AC: 10/04/1993

AC: 11/03/2003

AC: 09/11/2006

AC: 04/30/2007



**Appendix 10:**  
**Guidelines for Senior Summer Fellowship**

**FAIRFIELD UNIVERSITY FACULTY RESEARCH COMMITTEE**  
**GUIDELINES FOR SENIOR SUMMER FELLOWSHIP**

**INTRODUCTION**

The Faculty Research Committee invites applications from all academic disciplines for a Senior Summer Fellowship from tenured faculty who hold the rank of either associate or full professor. One award of \$7,000 will be made per year.

**PURPOSE**

The purpose of the Senior Summer Fellowship is to allow faculty to pursue advanced work and make a significant contribution to thought and knowledge in her/his respective discipline.

The Fellowship supports creative projects and research activities that can be completed during the summer of the award. The project/activities may be part of a larger research agenda.

It is usually expected that the Fellowship will result in juried performances or peer reviewed publications.

**DEADLINE FOR APPLICATIONS**

The deadline is generally November 1. Applicants must submit their completed proposals and 6 additional copies to CNS 300 c/o the chair of the Faculty Research Committee by 4:30 p.m. on the deadline announced. It is the candidate's responsibility to submit completed applications by the due date and time at the appropriate office.

**CONDITIONS OF ELIGIBILITY**

The applicant must be a tenured associate or full professor.

The applicant must be recommended by the Department Chair. Department Chairs who wish to apply should seek a letter of recommendation from a senior colleague.

The applicant must devote two consecutive and uninterrupted months to full-time research or artistic work, and may not hold other major external fellowships or grants during the summer of the award.

Recipients are not eligible to teach during their award period.

Members of the Faculty Research Committee are not eligible to apply during their term in order to avoid conflict of interest.

Faculty members approved for sabbatical leave or who receive the Robert Wall Award will not be eligible for a Senior Summer Fellowship for either summer contiguous to the academic year of the sabbatical leave.

Projects that involve human subjects must be approved by the Institutional Review Board.

## PROPOSALS

Information required in the application is described below. A proposal should be presented in a manner so that persons not acquainted with the field could understand and evaluate the project. The completed application should be sent to CNS 300 c/o the Chair of the Faculty Research Committee.

1. Name
2. Date
3. Department
4. Rank
5. Date of initial appointment and date of tenure
6. Title of proposed project
7. Dates for undertaking the work
8. A statement of the research or creative project and its importance. The nature of the project should be described, as well as the manner of its investigation. The importance of the project to the applicant's discipline should be briefly discussed, and its relevance to the applicant's long-term research or creative plans explained.
9. Detailed description of proposed project (indicate resources necessary for completion and any related work already done.)
10. Relevant bibliography
11. Copies of most recent report(s) from each of the following categories: Sabbatical Pre-Tenure research leave, Research Grant and/or Summer Research Stipend.
12. IRB review, if applicable
13. Resources. If access to special facilities or resources is necessary, please discuss how this will be provided (special library collections, computer services, instrumentation, etc.).
14. Curriculum Vitae (the curriculum vitae should reflect the applicant's record of teaching, research, and service).
15. Letter of recommendation. A letter of recommendation from the applicant's Department Chair (see attached for recommendation guidelines).



**ANNOUNCEMENT OF THE AWARD**

The recipient of the Senior Summer Fellowship will be announced by the end of the Fall semester.

**REPORTING REQUIREMENT**

Final report is due March 1 following the summer of the award.

Final report is sent to Faculty Research Committee Administrative Liaison, CNS 300

Copies of final report are sent to Academic Vice President and the applicant's Department Chair.

<p style="text-align: center;"><b>FAIRFIELD UNIVERSITY FACULTY RESEARCH COMMITTEE</b> <b>LETTERS OF RECOMMENDATION GUIDELINES</b></p>
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The letter must:

- Explain to the Faculty Research Committee the significance of the applicant's research and its relevance to the purposes of the department/program area,
- Document the applicant's previous analytical or creative research activity,
- Mention the contributions the applicant is likely to make to the department/program area through scholarly publications and teaching, and
- Support the applicant's reasonable expectations that the proposed work will be completed as stated in the proposal.

The Department Chair's letter must be able to support the applicant's candidacy in language that is comprehensible to the Faculty Research Committee members who come from various disciplines.

AC: 09/11/2006

AC: 04/30/2007

AC: 04/28/2008

Appendix 11:  
Guiding Principles and Procedural Guidelines for Faculty Compensation

Guiding Principles for Faculty Compensation at Fairfield University  
Universal Principles for Merit Plans

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The committee expects that plans will conform to these principles for use by 2005 and that a committee with faculty representation will review the plans and report to the Academic Vice President. Before 2005, applications for merit will be reviewed according to the school's current merit plan.

1. **There must be consistency between the plans and the mission, goals and objectives of the university.**
  - a. All plans must make effective teaching a criterion for determining sustained merit. Each plan must state clearly that effective teaching and mentoring are fundamental promises we make to our students. Plans must include submission and evaluation of evidence of teaching effectiveness.
  - b. The University, schools, and departments should be encouraged to develop increasingly useful instruments for evaluation of effective teaching.
2. **The merit review process should be distinct from the rank and tenure review process.**
  - a. Whereas rank and tenure evaluations necessarily insist on strong contributions in all areas, annual reviews may recognize and reward distinct strengths and contributions.
  - b. Whereas the *Faculty Handbook* does not spell out the particular importance of various forms of teaching, research, and especially service in the various schools, the merit plans may well seek to do so and encourage faculty members to make contributions in these areas.
  - c. The standards and criteria for tenure and promotion in the *Faculty Handbook* and the standards and criteria stated in the various school plans must correlate.
  - d. All plans need to incorporate criteria addressing the three areas of teaching, scholarship, and service into their plans.
  - e. Annual merit reviews must be dependent on submission of an annual report addressing each school's criteria for merit.
3. **Each plan should have a three level system of merit: 1) no merit, 2) sustained merit, and 3) additional merit.**
  - a. In all plans, sustained merit must be a prerequisite for being considered for additional merit.
  - b. Those who have earned sustained merit will receive a fixed percentage of their salary or of the mean of the rank whichever is higher. This percent will be consistent across the university to be added to their base salary.

- c. The concept of sustained merit is an appropriate minimum for every faculty member who is meeting the explicit written criteria for all faculty in that department or school or college. This should be a minimum standard and be a common percentage across all schools.
  - d. Appropriate distribution of funds in the system should be discussed among the AVP, deans, and the Faculty Salary Committee.
  - e. For merit plans to be effective, the committee considers that sustained merit should reasonably allow faculty members to retain or increase buying power over the years. In time periods where increases cannot exceed cost of living, serious consideration should be given to judging only for sustained merit.
  - f. Plans should have at least two levels of application review. Deans and faculty should work collaboratively to determine an appropriate procedure to present merit recommendations to the Dean.
- 4. Criteria for each level of merit should be developed by faculty, as charged by the Board of Trustees, in terms that are concrete and observable to insure that the process is as clear and transparent as possible.**
- a. Plans must avoid arbitrary distribution of awards.
  - b. Qualifying criteria for merit may differ in details for different schools.
  - c. Chairs and deans should acknowledge that individual faculty members have the potential to make distinct contributions.
  - d. In addition to considering teaching and scholarship, schools should consider various necessary activities such as community outreach, internship supervision, adjunct supervision, professional accreditation and assessment as part of the possible criteria for merit review.
  - e. The plans should take a holistic view of their areas and encourage each faculty member to contribute to the larger goals of the department, school and university. For example, a faculty member might be particularly strong in mentoring and advising. That faculty member might be encouraged to take on a greater number of advisees as a way of making a significant contribution to the goals of the department. In this way, merit reviews might help chairs and deans allocate the needed workload of the department or school as well as building on the strengths of each faculty member.
- 5. All school plans should be seen as works in progress, “living documents” that should be evaluated periodically and revised by faculty in accordance with these principles.**
- a. Deans and faculty should be open to new ideas and share them with colleagues.
  - b. Best practices from other schools might be examined.
  - c. One-year, two-year or even three-year “moving window” evaluations are all reasonable topics for discussion and debate within the schools.
  - d. Plans should be reviewed by a committee composed of representatives from faculty and administration to insure conformity to these principles, before the 2005 implementation date.
- 6. The plans should consider the formative and planning possibilities of merit reviews.**

- a. Although plans should certainly include a review of the accomplishments of the previous time period, the most effective merit plans will set individual and collective goals and objectives for the future which can then be evaluated by the department chair and/or dean in consultation with the faculty member.
  - b. By stressing a formative as well as evaluative methodology, merit plans will minimize punitive evaluations of work not done, and increase opportunities to explore and encourage faculty contributions related to the expertise and interests of the individual faculty member.
7. **Appropriate feedback is an important component of a merit review and should be provided by the department chair or dean.**
8. **There should be a fair and appropriate process for appeals. (i.e. Appeals Committee with faculty representation, Ombudsperson, etc.)**

Respectfully submitted by the Academic Council Ad-Hoc Committee on Guiding Principles and Procedural Guidelines for Faculty Compensation.

Members: Margaret Deignan, Joe Dennin, Paula Gill Lopez (Chair), Phil Greiner, Orin Grossman, Walt Hlawitschka, Timothy Law Snyder, Kraig Steffen, Maggie Wills

AC: 06/30/2004  
GF: 09/17/2004



## Appendix 12: Guidelines for Faculty Annual Merit Review and Self-Evaluation

Faculty members will take part in annual merit evaluation and self-assessment by writing three short essays, one each on teaching, scholarly and/or creative activities, and service. The essays should inspire reflection on the year's achievements and suggest areas for improvement. Schools or curriculum areas may request that evidence be appended to the essays, e.g., teaching evaluations, new pedagogical materials or reprints of published work. The essays and appended materials will constitute the application for merit pay increases. In addition, faculty members will receive qualitative feedback on their performance from their chairs, program area directors, or a duly constituted committee.

This document describes the process and provides guidelines for writing the essays. There will be three potential levels of merit: "standard" and two levels beyond this (called "additional" and "extraordinary"). Whether merit is actually awarded in a given year will depend on budget considerations, but the yearly assessment should be done regardless of the status of the budget. Below you will find an overview of what might constitute standard, additional and extraordinary merit in the three categories of teaching, scholarship/creative activity, and service, and additional detail on how to submit the assessments.

### Standard Merit

Standard merit is a threshold that the great majority of faculty should be able to achieve annually. Because Fairfield University recognizes that **effective teaching is critical to our mission and a fundamental promise that we make to our students**, each faculty member must make a case for teaching effectiveness. In addition to demonstrating professional and quality engagement with teaching, the standard merit threshold requires a positive professional contribution in scholarly/creative activity or service. The evaluation period for standard merit is the calendar year.

### Further Merit

Further merit is characterized by two levels, additional merit, and extraordinary merit. The differentiation among the levels is determined by the standards of the curriculum area according to the quality, impact, prestige, reach, difficulty, and/or rarity of the accomplishments. The lists below reflect some examples that distinguish among standard, additional, and extraordinary merit. These are not checklists but guides. The emphasis should be on the positive, professional contribution the faculty member has made through the activity.

The evaluation period for further merit includes all calendar years since further merit was funded by the salary pool.

The lists below indicate the types of achievements and activities appropriate to each level of merit. As stated above, Standard Merit requires sufficient achievements or activities in teaching and one other area. To earn Additional Merit, the faculty member must demonstrate achievements at the Additional level in two areas and the Standard level in the third area. Extraordinary Merit requires achievements at the Extraordinary level in one area and at the Additional level in the other two areas.

### **The Application: Essays on Teaching, Scholarly/Creative Activity, and Service**

There is a single application for all three levels of merit. It will comprise three short essays (or annotated lists) in the areas of teaching, scholarly/creative activity, and service (though only achievements in teaching and one other area are required for the standard merit threshold). Schools or curriculum areas may request appended information that supports the essays. If the faculty member has no activities or achievements to discuss regarding either service or scholarly/creative pursuits, that essay should be devoted to plans for that area. Candidates should have flexibility in making their case, and the arguments should be primarily qualitative because they are meant to inspire reflection. Each essay should be focused and concise, no more than 250 words or one double-spaced page. Each essay should discuss important highlights in that particular area and not be a detailed list of every activity. In years when there is further merit, the faculty member will specify the level of merit for which he or she is applying.

Below are some guidelines for what could be included in the three essays. The examples listed are not intended to be exhaustive or used as checklists; rather, they are illustrations of typical or common activities in the three areas. Within each area, activities that qualify a faculty member for a higher level include qualification for any lower level.

Note that the relative importance of the three areas within the review is reflected by their ordering. That is, consistent with the norms of the profession and the mission of the university, teaching is the most important thing we do, followed by scholarly/creative accomplishments, and then by service. However, individuals may emphasize different areas at different points in their professional lives.

The structures above reflect campus-wide values for teaching, scholarship and service in order to achieve standard merit. However, schools and curriculum areas differ in their disciplinary approaches to pedagogy and scholarship, accreditation requirements, and even service needs based on the size of the school. These differences may have an impact on the determination of merit through the addition of items in the bulleted examples below and through the merit review process itself.

### **Examples of Activities in Support of Merit**

#### **Teaching:**



Teaching includes curriculum design and review, classroom instruction, quality advising, clinical/practicum supervision, close work with students outside the classroom, assessment of learning outcomes, and work that contributes to the improvement of teaching at the university. **To qualify for standard merit in teaching, the faculty member must fulfill the relevant duties specified in the *Handbook* and provide evidence of active engagement in quality teaching.** These duties include: preparing, administering and grading exams; directing, grading and discussing papers and projects; submitting grades in a timely manner; maintaining office hours; and beginning and ending classes on time (*Handbook*, sections C.1.a, b, c, and d).

Besides meeting these basic professional responsibilities, the faculty member must make the case for being actively engaged in quality teaching. The member should have teaching evaluations that support the case for teaching effectiveness, and the lists below contain some of the additional standard ways to demonstrate teaching effectiveness. The essay and supporting materials are not limited to these activities, and **should emphasize how the activity contributes in a positive way to teaching in the department or program and at the university.** Finally, where teaching evaluations are relatively weak, the essay should include explanations and plans for addressing any weaknesses.

Teaching effectiveness and contributions in the area of teaching should comprise the most significant part of any annual review.

Typical activities that, done well, might demonstrate achievement of Standard Merit:

Consistently strong teaching evaluations (benchmarked by discipline, course level, and other considerations).

Developing a new course or substantially revamping an existing course to meet program or university goals.

Teaching a course that is significantly more labor intensive than a typical course in the curriculum area.

Supervising an intensive student learning experience outside the traditional classroom (e.g., independent research, clinical/practicum supervision).

Serving as the director of a master's thesis or project.

Incorporating ideas from the Center for Academic Excellence or other pedagogical workshops into teaching.

Above average student advisement load.

Other activities that contribute significantly to effective teaching.

Activities that, done well, might demonstrate achievement of Additional Merit:

Consistently very strong teaching evaluations (benchmarked by discipline, course level, and other considerations).

Participating in peer review with colleagues in other departments or significant mentoring of others' teaching.

Innovative advising and/or unusually heavy advising load.

Directing student research teams.

Teaching that contributes to institutional initiatives (e.g., team teaching, interdisciplinary teaching, cluster course teaching, service-learning, or teaching in conjunction with a residential learning community).

Developing and/or maintaining clinical or other placement sites.

Contributing substantially to a program self-study, or academic assessment or accreditation activity in a curriculum area.

Other comparable achievements that contribute significantly to effective teaching.

Activities that, done well, might demonstrate achievement of Extraordinary Merit:

Consistently superior teaching evaluations (benchmarked by discipline, course level, and other considerations).

Contributing significantly to the institutional culture of reflective practice and peer review of teaching.

Significant mentoring or unusually intensive work with students outside class or beyond the usual teaching load.

Leading a program self-study, or academic assessment or accreditation activity in a curriculum area.

Receiving a teaching award.

Other comparable achievements that contribute significantly to effective teaching.

### **Scholarly/Creative Activity:**

It is the responsibility of all professional scholars to participate in their academic communities, through innovation, application, and dissemination of scholarly work. The *Handbook* specifies forms of participation in the scholarly and professional community, namely: “Involvement in scholarly research or other professionally recognized creative activities; active participation in professional societies and educational organizations; and keeping abreast of current developments in one’s field” (*Handbook*, sections C.1.h, j, and k). The lists below contain some of the standard ways to demonstrate this active participation. Again, the essay is not limited to the activities listed below and should **emphasize how each activity makes a positive professional contribution and enhances the university.**

Evidence of and commentary on scholarly and creative contributions to one's field should comprise a significant portion of any annual review.

Typical activities that, done well, might demonstrate achievement of Standard Merit:

Contributing in peer reviewed publications or creative works relevant to one's discipline or field.

Presenting at a professional conference or meeting.

Serving on a panel, roundtable, or special session at a professional meeting.

Serving as a reviewer for a scholarly journal or professional society.

Participating regularly in an ongoing scholarly or professional seminar.  
Serving as a reviewer of a tenure application at another institution.  
Communicating academic findings or contributing one's academic expertise to public dialogue through publishing, presenting, media commentary, or task force participation.  
Maintaining clinical licensure or certification relevant to one's professional program.  
Other significant activities that demonstrate contributions to the candidate's discipline or field.

Activities that, done well, might demonstrate achievement of Additional Merit:

Publishing a peer-reviewed article in a mid- to top-level journal, chapter, or equivalent in exhibit or performance  
Leading a scholarly or professional workshop or seminar.  
Organizing a significant panel or program for a professional meeting or for a public forum for which one's academic expertise is needed.  
Giving a notable invited address or similarly notable exhibit.  
Making a scholarly contribution to the professional organization.  
Serving on the editorial board of a peer-review journal or publication series.  
Procuring external funding for one's research.  
Preparing and submitting a well-reviewed, but unfunded, major external grant proposal.  
Other comparable achievements that demonstrate scholarly/creative contributions to one's field.

Activities that, done well, might demonstrate achievement of Extraordinary Merit:

Publishing a book that has been subject to some form of peer review, article in a top-tier journal or equivalent in exhibit or performance.  
Giving a major invited address or keynote at a major meeting.  
Planning and leading the program for a major scholarly meeting.  
Receiving a major grant from an outside funding source.  
Serving as editor of a peer-review journal or publication series.  
Receiving an award for research or similar recognition from one's academic peers.  
Other comparable achievements that demonstrate scholarly/creative contributions to one's field.

### **Service:**

Service to the institution, at the level of departments, schools, or the university, is a vital aspect of our professional responsibility. The *Handbook* specifies basic forms of service to the institution namely, "Attendance at and participation in general faculty and curriculum area meetings; attendance at commencement, convocations and other functions at which the Academic Vice President may request attendance; and service on, and cooperation with, University and curriculum area committees" (*Handbook*, sections C.1.e, f, and g). Besides fulfilling these basic obligations, faculty members who want to qualify for merit in this area

must demonstrate active participation in shared governance and promoting the well-being of the institution.

The lists below contain some of the standard ways to demonstrate active membership in the life of the university and/or the profession. Again, the essay is not limited to these activities and should **emphasize how the activity makes a positive contribution to the institution and/or the profession.**

Typical activities that, done well, might demonstrate achievement of Standard Merit:

- Actively serving on university, school, or department committees.
- Service to a professional organization.
- Organizing campus events.
- Ongoing volunteer community service that fits the mission of the university.
- Actively participating in recruitment, admission, and retention of students.
- Other activities that contribute significantly to the university or the profession.

Activities that, done well, might demonstrate achievement of Additional Merit:

- Chairing a department or directing a program.
- Serving the department, school, university and/or the profession in a significant way through participation on committees.
- Holding and fulfilling the responsibilities of a formal office in a professional association.
- Contributing substantially to the non-academic elements of an accreditation activity.
- Significant participation in the admissions process (e.g., reviewing applications, interviewing applicants, and contributing to the admission decision).
- Participating on a major university or school task force or equivalent.
- Other comparable achievements that demonstrate service to the institution and/or profession.

Activities that, done well, might demonstrate achievement of Extraordinary Merit:

- Providing major leadership to faculty and shared governance or making a particularly significant contribution through committee leadership.
- Providing leadership for a major university initiative.
- Holding a major leadership position in a professional organization.
- Leading the non-academic elements of an accreditation activity.
- Receiving a major service award from the university, professional society, or civic body.
- Other comparable achievements that demonstrate service to the institution and/or profession.

Support for any activity in the form of a course release, a university or school stipend, or other university funding for the work should be disclosed in the essays. Significant remuneration for an activity may be considered by the curriculum area head or merit committee to reduce the impact of the activity in the merit review.

### **Application Process Guidelines:**

The lists are not intended to be checklists but rather used as guides for faculty members to contemplate and present their significant accomplishments for the year. Schools and departments may expand upon items in the various lists and/or add to the lists those items appropriate to their disciplines and should maintain and distribute the revised list. However, because these lists reflect the activities that the institution as a whole values, schools or departments may not remove any items, although some items may receive greater or lesser emphasis consistent with disciplinary distinctions or programmatic and curricular goals.

In applications, the emphasis should be on the quality of the work and how it reflects the faculty member's productive engagement with his or her department, school, university or profession.

Because they are already extensively reviewed each year and they should be focused on longer-term, rather than annual, goals, untenured, tenure-track faculty members automatically qualify for standard merit in their first three years as long as their contracts are renewed. In years when further merit is available, they may apply for it. In addition, the merit assessments for untenured, tenure-track faculty should recognize that they do not have as many opportunities for leadership in service as tenured faculty do.

By a specified due date each faculty member will submit her or his application to the head of the appropriate curriculum area or a committee within the area or school. The head or committee will make a recommendation to the appropriate dean as to what level of merit the candidate qualifies for. After the dean makes a final decision, the head or committee will communicate this decision to the faculty member. Individuals (whether the head of a curriculum area or on a committee charged with making merit recommendations) may not make recommendations regarding their own merit application.

The annual review process should be summative for the purposes of awarding merit, but also must be formative. Each faculty member should receive feedback from the appropriate administrator (department chair and/or dean) indicating areas in which the faculty member can improve as well as areas in which he/she is doing well. This feedback should include constructive ideas for how this improvement might be accomplished and consideration of the support that is available to enable those improvements.

The role of the Deans and the Senior Vice President for Academic Affairs will be to ensure that the results of the merit process in each curriculum area are appropriate and have a reasonable degree of consistency across curriculum areas. At the same time, the assessment of these results must be cognizant of distinctions in disciplinary approaches and programmatic and curricular goals.

An appeals process will be developed by the joint Salary Committee (FSC and administrative team) in collaboration with the Deans and SVPAA prior to the first implementation of this plan.

### **Distribution of Funds**

If the increase in the salary pool is at or below the increase in the cost of living (CPI-U), the entire increase in the pool will go to Standard Merit. If the increase in the salary pool is above the increase in the cost of living, then the percent going to Standard Merit will be cost of living plus one quarter of the remainder of the increase in the pool. Standard Merit will be distributed to recipients as a percent of salary or of the mean of the rank, whichever is greater. Additional and Extraordinary Merit will be distributed in such a way that each faculty member who receives Extraordinary Merit in a given year will receive the same dollar amount, and it will be twice the amount awarded to each recipient of Additional Merit.

GF: 10/23/2009

## **Appendix 13:**

### **Merit Appeal Process**

#### Review process leading to appeal

1. Each school constructs a merit plan or plans and processes for evaluation that are consistent with the approved Guidelines for Faculty Annual Merit Review and Self-Evaluation. These plans will include structures for making merit assessments.
2. Applications should indicate which level of merit they are applying for, from among the levels being funded in a particular year.
3. The body charged with assessing merit (committee or department chair) will review the applications and make recommendations to the Dean. Those recommendations will only refer to levels of merit that are being funded in a particular year. The assessment body will also send their summative evaluation to each faculty member, along with an explanation for their judgment (in 250 words or less).
4. The Dean will review the recommendations and make preliminary decisions.
5. Deans will forward to the SVPAA a numerical summary of their proposed merit awards. If there are large discrepancies among the schools, the SVPAA may ask one or more Deans to reconsider their recommendations. Such a request would be at the level of the school; the SVPAA would not be reviewing individual applications.
6. Deans will finalize their decisions and inform each faculty member, in writing, of the decision and rationale. Faculty members may appeal the Dean's decision.

#### Appeal process

1. A university merit appeals committee will be chaired by the SVPAA, and consist of four voting faculty, no more than one per school, elected to staggered two year terms, and three voting Deans, appointed annually by the SVPAA to one-year terms. A Dean whose decision is being appealed shall not be involved in the deliberations for that appeal, does not vote on that appeal, and is not replaced on the committee for that appeal.
2. Each appeal will consist of: a. the initial merit application from the faculty member; b. the plan under which the applicant was assessed; c. the letter from the school/department merit assessment body; d. the decision letter from the Dean; and e. a faculty response (of no more than one page) to the rationale for the negative decision provided by the Dean and/or assessment body.
3. The charge of the appeals committee is to judge whether criteria were applied fairly, not whether criteria in an approved plan are appropriate.

4. All committee votes will be done by secret ballot.
5. For appeals of standard merit decisions, the vote of the seven voting members shall be final.
6. For appeals of further merit decisions, the recommendation of the seven voting members shall be forwarded to the SVPAA. If the SVPAA rejects the committee's majority recommendation, he or she must explain the rejection in writing to the committee, the relevant Dean, and the applicant.

#### Final steps

1. Each year, the SVPAA will use the discussions and outcomes of the appeals process as a basis for working with the Deans to ensure consistency in merit assessments across the schools.

AC: 5/25/2010 and 11/1/2010



## **Appendix 14:**

### **Application for Emeritus Status and clarifications**

#### Application for emeritus status:

##### Requirements for application:

The responsible dean, area coordinator, or chairperson will nominate all individuals who plan to retire from his/her school, area, division, or department. Nominations are made to the Committee on Rank and Tenure through the Office of the Senior Vice President for Academic Affairs.

To be included with the nomination is the following supportive documentation:

1. a current curriculum vitae of the nominee
2. a letter from the nominator reviewing the nominee's professional accomplishments in teaching, scholarship, and service, and highlighting in which area(s) the candidate's achievement is judged 'laudable.'

##### Timetable for review of nominations:

- Nominations to be made by the last Friday in February
- Recommendation to President by the third Friday in March
- Appeals filed by the second Monday in April
- Appeals considered by the end of the third week in April
- Recommendations concerning appeals made to President by the Senior Vice President for Academic Affairs within 3 days of committee deliberation
- President's decision communicated by first Friday in May

AC: 12/07/1987

#### Clarifications on Emeritus Status:

- i. There is no minimum number of years of service required.
- ii. The Rank and Tenure committee is not empowered to recommend to the President a promotion to senior rank at the time of the conferral of the title "emeritus."

AC: 03/28/1988

The title of Emeritus is reserved only to those members of the academic community who, having reached at least the age of 62, leave Fairfield and do not accept a full-time position at any other academic institution.

AC: 04/25/1988

AC: 03/07/2011



**Appendix 15:**

**Process for mediation of disputes concerning violations of academic freedom of faculty:**

Step One: Any individual or group claiming a violation of academic freedom should report the claim to an appropriate person, who shall be a chair, academic dean or other person designated by the Academic Vice President

Step Two. If the claim is unresolved, the interested parties shall participate in mediation, facilitated by a person skilled in mediation and conflict resolution, to be agreed upon by the parties.

Step Three: If mediation does not resolve the dispute, then the faculty member may proceed according to the Procedures for Due Process in the *Faculty Handbook*.

The person invoking this process may indicate that a timely decision is necessary. In that case Step One shall take place within three days, Step Two within seven days, and Step Three within ten days of the initial reporting of the claim.

AC: 02/06/2006



## **Appendix 16:**

### **Policies for the School of Continuing Education**

#### **Continuing Education Programs:**

The School of Continuing Education is an academic community of Fairfield University designed to provide opportunities for lifetime learning to adults with diverse educational needs. Its commitment is to a curriculum that enhances personal growth and career development, and to a schedule which allows adults with job and civic responsibilities to pursue higher education part-time.

#### **Academic Standards and Policies for the School of Continuing Education:**

##### **1. Admissions Policy:**

a. The undergraduate degree programs of the School are designed to serve:

- i. high school graduates who wish to combine gainful employment and the pursuit of a college degree;
- ii. persons who desire to resume an interrupted college program on a part-time basis;
- iii. persons preparing for a new career or for advanced graduate studies.

b. Non-matriculated students

- i. Prospective students interested in courses for academic credit but not intending to work for a degree may register as Special Students.
- ii. Prospective students not concerned with academic credit may enroll in courses as Auditors. Auditors attend class but receive no academic credit or grade.
- iii. Prospective students who are unsure as to their academic plans may initially register for credit as Special Students.

c. Matriculation for degree program

After having completed 12 credit hours with at least a C average at the School, the student will be reviewed by the School for matriculation into a degree program.

- i. Prospective degree students must complete an application form and submit a copy of their secondary school diploma or equivalency certifi-

cate. If the applicant has attended a post-secondary school or college, an official transcript must be sent from each institution.

ii. Although evidence of secondary school graduation or its equivalent is required, other academic entrance requirements are flexible. Criteria for admission are the applicant's seriousness of purpose and the quality of his/her academic record at Fairfield.

d. All grants of transfer credit are made on a provisional basis to applicants and become final after the student has matriculated.

i. Course credits may be awarded to applicants on the basis of standardized tests and evaluations from such groups as the American Council on Education (see further below under "Other Curricular Policies").

ii. On the evidence of transcripts submitted at the time of application, course credits will be given to students who have pursued studies in accredited colleges if these studies are equivalent in quality and content to corresponding courses offered at the University, and if the student has received a grade of at least C. Students transferring into a Bachelor's degree must complete a minimum of 60 credits at Fairfield; those transferring into the Associate's degree must complete a minimum of 30 credits at Fairfield. Credits more than 10 years old may have to be re-evaluated.

e. After matriculation, students must consult with the Dean if they wish to obtain credit for courses to be taken at another university.

## **2. Grades and examinations**

a. The grading system for the School will be the same as that for the undergraduate schools.

b. To remain in good standing, a degree student must maintain a cumulative average of C. If his/her cumulative average falls below C in a given semester, he/she will be placed on probation during the following semester; probation will be removed if the student can raise his/her cumulative average back to a C, or 2.0, in that semester. If not, the student is liable to dismissal at the discretion of the Dean.

c. Final examinations are required in all courses. A copy must be filed with the Dean's office. Alternatives to the traditional written exam must be approved; a memorandum explaining the alternative method of evaluation must be filed with the Dean.

**3. Completion of degree program**

To graduate from the School of Continuing Education the student must attain a minimum of 120 credits for a Bachelor's degree and 60 credits for the Associate of Arts, but no simple accumulation of credits is prescribed nor considered to qualify for a degree at Fairfield. Rather, the student is expected to have completed with success all the assigned courses, which constitute the curriculum of his/her choice. A Quality Point Average of 2.0 for courses taken at Fairfield University and in the major is required for graduation.

**4. Other curricular policies**

a. The curricula of degree-granting programs in the School of Continuing Education shall be subject to the approval of the Undergraduate Curriculum Committee.

b. Major programs in the School of Continuing Education shall be supervised by existing departments of the undergraduate faculty.

c. Nonmatriculated Students in Daytime Courses:

All special nonmatriculated students who wish to attend daytime undergraduate courses will enroll through the School of Continuing Education. These students are limited to a maximum of 3 courses per semester from the daytime schedule.

d. Translating Continuing Education Units (CEU) into College Credit:

The CEU is a nationally recognized standard of measurement used to document the type, quality and duration of non-credit course work. One CEU is equivalent to 10 class hours of participation in a qualified program. CEUs are not directly convertible to college credits. Translations of CEUs into college credit may be accomplished by the portfolio method of assessment.

e.Awarding College Credit by Outside Evaluation:

The recommendations of the American Council of Education and the Program of Noncollegiate Sponsored Instruction of the University of the State of New York are acceptable for the awarding of credit in areas compatible with the Fairfield University curriculum. The credits awarded are treated as transfer credits.

f.Awarding College Credit by Examination:

College credits may be awarded for the Subject Examinations of the College Level Examination Program if the achievement level is at or above the 50th percentile.

A second acceptable examinations battery is from the American College Testing Proficiency Examination Program provided the scores are 50 and over.

The examinations must be in areas compatible with the Fairfield University curriculum. Credits awarded are treated as transfer credits.

g.Responsibility of the School of Continuing Education:

The School of Continuing Education has authority and responsibility for institution-wide program development and delivery for adult part-time undergraduate and non-credit students. Its dean has the responsibility of insuring that creditable standards are maintained.

h.Selection and Retention of Faculty:

Faculty qualifications are determined by the appropriate departments and schools of the University.

The Dean of the School of Continuing Education has the authority to select among qualified faculty. The Dean also has responsibility for retention of faculty.

i.Curriculum:

Course proposals are approved by the appropriate curriculum area and/or school committee. Approval of interdisciplinary courses involve all concerned curriculum areas and school committees.

Changes of academic requirements, alternations of curriculum and other academic matters are processed through the normal faculty committees.



The Dean of the School of Continuing Education takes part in the deliberation of these committees.

5. **Other policy clarifications**

A students with an A.A. or an A.S. degree in a "transfer curriculum" from an accredited college may be accepted with 60 credits (exclusive of remedial courses and basic skills) in transfer.

Those who have acquired a considerable body of knowledge in an area can demonstrate their competency by taking an equivalency examination or other form of assessment given or supervised by the Department or curriculum area.

The general goals of the University Core Curriculum should be preserved, but the Dean and his/her advisors should not be held to itemized requirements; each case should be interpreted and some flexibility allowed in view of the background of the student and the spirit of the Core.

The core for Bachelor of Arts or Bachelor of Science degree in the School of Continuing Education is as follows:

Humanities: Students will take 12 courses, 36 credits:

Classics (optional)

English: 2 courses required:

1 in Composition

1 in Literature

Fine Arts: 2 courses required

History: 2 courses required, of which one is in Western Civilization

Modern Language (optional)

Philosophy: 1 courses required

Religious Studies: 1 course required

Philosophy, Religious Studies, or Applied Ethics: 1 course required

Social Sciences: Students will take 4 courses, 12 credits; at least 2 disciplines will be represented. The social sciences include:

Economics

Politics

Psychology

Sociology

Natural Sciences and Mathematics: Students will take 4 courses, 12 credits; at least 1 science and 1 math will be represented. The subjects include:

Biology  
Chemistry  
Physics  
Mathematics

CR: 9/22/86  
amended AC: 2/6/89  
amended AC: 12/7/92  
amended AC: 05/19/2010

## Appendix 17: Policies for Part-Time Students

1. Each school is entitled to decide whether or not to admit part-time students.

For a school that decides to admit part-time students, part-time *degree-seeking* students must be subject to the same admission criteria and curriculum requirements as their full-time counterparts.

2. Part-time *non-degree-seeking* students need not be required to meet regular admission criteria and will be allowed to take courses on a space-available basis. Part-time *non-degree-seeking* students must meet course prerequisites or have permission of the appropriate department chair. Part-time *non-degree-seeking* students may take up to two courses per semester.
3. Advising for part-time *degree-seeking* students will be based in the relevant department. Part-time *degree-seeking* students will be assigned a faculty advisor in the same way as full-time students.
4. With regard to registration, to the greatest extent possible, part-time students will be treated the same as full-time students.
5. Part-time students will continue to have a per-credit tuition rate that is competitive with other part-time programs in Fairfield's market.
6. Part-time degree-seeking students may switch to full-time status at any time.

Consultation with the appropriate dean is required for a full-time student to switch to part-time status.

7. Rules (and their financial implications) for movement from full-time to part-time status will be clear at the time of matriculation.
8. Only BPS students will have the modified core defined in the Journal of Record.

AC: 02/06/2012, 02/26/2012 and 04/16/2012



## **Appendix 18:**

### **Fairfield University Intellectual Property Policy**

- Introduction
- Purpose of the intellectual property policy
- Who is covered by the policy
- Definition of standard vs. significant university resources
- Three year formal review of this policy
- Policy
- Responsibilities
- Royalty sharing
- University uses of net royalties
- New venture formation
- Inventions not under University auspices
- When arrangements with outside organizations override this policy
- Governmental rights in certain inventions

#### **Introduction**

In the course of academic and scholarly pursuits, important discoveries and inventions can often result. Fairfield University believes that it is an important part of its overall mission to share such discoveries and inventions with the greater community for the benefit of society and the appropriate recognition of its faculty. Therefore, Fairfield University encourages the commercialization of its intellectual property and other intellectual assets so long as such activities are consistent with the University's overall academic mission, values, and principles.

#### **Purpose of the intellectual property policy**

Fairfield University has established this intellectual property policy to:

- a. Clearly define the University's policies and procedures for the handling of intellectual property developed by faculty, staff, and students
- b. Describe an organizational infrastructure and set of processes through which Fairfield University intellectual assets can be efficiently assessed for commercial potential and be made available to appropriate commercial partners for the benefit of society and the appropriate recognition of Fairfield University and its faculty.

- c. Establish the rights and obligations of the University and inventors with respect to inventions and discoveries created at the University.
- d. Establish a revenue sharing formula among the deserving parties and define how revenues generated by the commercialization of Fairfield University intellectual property and assets will be distributed among inventors and the University.

#### **Who is covered by this policy**

All University employees are covered by the policy. Also covered are non-employees (including students, visitors, volunteers, fellows, and scholars) who are aided by a significant use of University resources.

**Definition: Standard versus Significant University Resources:** Standard resources are those supplied to all faculty and staff, including office space and computer and services such as the library, photocopying, secretaries, and funding sources available to all faculty (i.e., non-competitive awards such as sabbaticals). “Significant” would be those resources supplied to an individual beyond standard, such as lab space, specialized equipment, competitively awarding University grants, funding not available to all faculty, external grant support services and University resources set up to apply for and maintain patents and/or market inventions.

#### **Policy**

1. All rights to and interest in discoveries or inventions, including patents, which result from research or investigations conducted in a Fairfield University facility or involving significant use of Fairfield University resources, shall be the sole property of the University.

Comment: a new biological test developed in a faculty member’s lab without external funding would fall under this policy as it is developed using “significant” resources (lab equipment) provided by the University. A patentable business process developed by a faculty member using library resources and their standard office computer would not be covered by this policy and the inventor would be free to seek a patent or to market the invention on his or her own. However, if the inventor sought the services of the University to help patent and/or market the process, then the invention would be covered by this policy.

2. All rights and interest in software, although it is copyrightable, shall be the property of the University when it is required for an invention or is part of an invention and has been developed with significant contributions from the University, or developed in the course of carrying out University business.
3. This policy shall not supersede or negate any existing written agreements between the University and individual faculty, staff or students regarding the disposition of inventions or other marketable items that were made prior to the adoption of this policy.
4. Employees who make or participate in the making of such discoveries or inventions shall promptly disclose their discovery or invention to the Senior Vice President for Academic Affairs

5. If requested, the inventor will promptly complete the invention disclosure form supplied to him/her.
6. The inventor will retain ownership of the following:
  - a. All intellectual property developed without significant use of University resources and without corporate, federal or other external support obtained and administered through the University.
  - b. All rights in literary and scholarly intellectual property, such as scholarly books, articles and other publications (including those in electronic form).
  - c. Works of art, literature, film, video and music recordings are owned by the creators despite the use of University resources so long as such works are neither created under the direction or control of the University, nor developed in the performance of a sponsored research or other third party agreement. University sponsored creations are owned by the University unless prior agreement is reached before the project commences.
  - d. All copyright in papers, theses, and dissertations written as a student to earn credit in University courses or otherwise to satisfy University degree requirements.
7. Other ownership options:
  - a. Upon mutual agreement, an inventor may assign intellectual property he or she would otherwise own under this Policy to the University to be managed by the University.
  - b. Inventors may contribute their University-owned inventions or discoveries to the public domain, thereby foreclosing the possibility of patenting and/or licensing, provided there is no conflict with the desires of co-inventors, third party or University rights, or applicable laws and regulations.

Prior to the investment of significant University resources (or as soon as is reasonably possible in a project), the inventor(s) may declare their intention to contribute their work to the public domain (open-source in the case of software) without attempting to establish patent or copyright or otherwise commercially develop and market the invention. Whenever possible, inventors should consult with the SVPAA and the Research Committee on such projects. If significant University resources are in use, this does not rule out the contribution of the invention(s) to the public domain, but the University must agree to this practice in advance of any disclosure.

8. Rights to inventions arising in the course of government or other externally sponsored research are controlled by the terms of the agreement between the University and the sponsor and/or applicable federal regulations.
9. Inventors shall be entitled to share in any royalty income received by the University for their discoveries or inventions in accordance with the University's revenue distribution plan.
10. In the event of two or more inventors, all inventors will execute a binding agreement at the time of disclosure that will delineate each inventor's personal share (percentage) of any income.
11. Inventors agree to assist and cooperate with the University in obtaining and enforcing patents, including, without limitation, executing and delivering all assignments, documents and instruments reasonably requested by the University in conjunction with obtaining and enforcing patents within the United States or any foreign jurisdiction.
12. Nothing in this policy shall limit or restrict the right of the University faculty and students to publish results of their research, subject to reasonable delays to preserve patent or other intellectual property rights. Delays in publication required by the University or third parties in sponsored research agreements, as a general rule, shall not exceed 90 days from initial disclosure of the invention to the University or Sponsor.
13. The University has no obligation to pursue or maintain patent protection for disclosed inventions. If the University elects not to pursue a patent application, maintain a patent, or otherwise market the invention, then the University may assign ownership to the inventor(s) while retaining a royalty free license to use the invention for non-commercial purposes.
14. The University will consult with the inventor(s) who disclose a discovery or invention before marketing such discovery or invention. If there is strong objection to the way an invention is going to be marketed or licensed, the inventor(s) may ask the Research Committee to review the matter and make a recommendation to the SVPAA, who will make a final decision.

#### **Inventor Responsibilities**

- a. The University may call upon inventors for advice and cooperation in order to assist the University's efforts to patent and/or market the invention
- b. Inventors will provide, upon request by the University, assignments or other documents necessary to perfect the University's ownership rights.
- c. Copyright holders are responsible for assigning copyright ownership to the University when required by this policy. Copyright assignments should be processed through the University.
- d. University personnel (including students) who are privileged to be made aware of discoveries and proprietary information owned by third parties are responsible for taking



reasonable steps to prevent unauthorized use or inadvertent public disclosure of such discoveries and information. These steps may include requiring those who have access to the discovery or information to sign a non-disclosure agreement. All non-disclosure agreements must be reported to the Research Committee, whose charge is to ensure that the inventors and the University are not placed in a situation of having an ethical obligation to publish or disclose information but be contractually bound not to.

- e. Inventors should abide by all commitments made in license, sponsored research, and other agreements and comply with all laws and regulations related to federally and privately funded research.
- f. The inventor has the responsibility to properly consider, disclose and manage any possible conflicts of interest arising from agreements to commercialize intellectual property. If multiple agreements exist, for example, when a company funds University research and also has a consulting arrangement with the inventor, there may be conflicts created with respect to intellectual property rights. The inventor shall work with the University to resolve such conflicts.

### **University Responsibilities**

- 1. Administer, in a confidential, thoughtful and efficient manner, all intellectual assets disclosed to the University. The University may enlist the services of outside consultant(s) to help achieve this responsibility.
- 2. Interpret and advise on appropriate language in sponsored research agreements regarding intellectual property.
- 3. Arrange the distribution of royalty income earned by the University in accordance with the attached royalty distribution schedule.
- 4. Manage the process for filing and maintaining patent applications
- 5. Determine the rights of the University in any invention, discovery, or copyrightable work covered by this policy.
- 6. Make sure that all required government reporting is performed accurately and promptly.
- 7. If the University decides to participate in the patenting or licensing of an invention, the University will seek to enter into appropriate licensing arrangements to commercialize the invention. The objective of the University is to assure the development of its technology in furtherance of its own educational mission and for the benefit of society in general. Therefore, as a general policy, the University will set the terms of its licenses so as to further the achievement of this objective. Exclusive licenses will be granted if it appears to the University that this is the most effective way of ensuring development to the point that the public will benefit. Any exclusive license agreement will be drawn as to protect against failure of the licensee to carry out effective development and marketing within a specified time period.

8. Provide a process for resolution of disputes that arise between and among the University, sponsors and inventors regarding intellectual property.

### Royalty Sharing

- a. **Definition.** For purposes of this policy, "royalties" shall include running royalties, advances against running royalties, up-front license fees, milestone payments, shares of stock or other securities issued by the licensee or another corporation ("equity"), and any other payments received by the University under a license agreement in consideration for licensing an invention, but shall not include amounts received from a licensee or others in sponsorship of research or under other agreements for other goods, services or rights.
- b. **Recovery of Expenses.** Before the sharing of royalties between the faculty inventor and the university shall begin, the university will first be reimbursed for extraordinary expenses incurred in the development of the project, including project specific internal grants, matching grants, release time from teaching, and all other out-of-pocket expenses incurred by the University in applying for, obtaining, and defending a patent and in developing and negotiating license agreements during the life of the patent. Expenses for this purpose will include fees paid to outside legal counsel, consulting, and licensing organizations and any other out-of-pocket costs incurred by the University. The fees paid to the external individuals or organizations for such services may be of fixed dollar amount or may be in the form of an agreed-upon fraction of the gross royalty income, if any, or in any other form directly associated with commercialization / licensing of the invention.
- c. **Support for Technology Transfer.** Five percent (5%) of gross Royalties received from licensing agreements shall be used to support the technology transfer resources at Fairfield University.
- d. **Net Royalties.** After recovery of expenses by the University as provided in subparagraph (b) and contributions to supporting technology transfer at Fairfield University as provided in subparagraph (c), the remaining royalties will be designated Net Royalties.
- e. **Distribution of Net Royalties.** The Net Royalties as defined above shall be divided between the Inventor(s) and the University as follows:

Net Revenue	University		Inventor(s)
1 <sup>st</sup> \$1Million	50		50
Over \$1 Million	60		40

### University uses of net royalties.

This Research Committee will advise the SVPAA on the allocation of the University's share of royalties collected as well as on decisions to support or not support the patenting/marketing of inventions.

The home department of the inventor(s) may appeal to the Research Committee for allocation of an appropriate proportion of net royalties back to the home department, based on the impact of the inventor(s)' work in the project upon teaching load and resource allocation in the department. As a rule, the home department (or program) to which the inventor(s) belong should receive some benefit from the royalty stream.

### **New Venture Formation.**

When pursuing new venture formation Fairfield University shall be treated as a full equal founder of the new venture by virtue of the contributions it makes to the formation and establishment of the new venture. Therefore, in terms of the distribution of founders' equity, Fairfield University shall share equally with the faculty founders. In other words, if there are two faculty founders, then each faculty member and Fairfield University shall own a 1/3 stake (pre-money); if there are four faculty founders (or a start up CEO), then the founders and Fairfield University shall each own a 1/5 stake in the new venture. .

Any intellectual assets being licensed to the "Newco" by Fairfield University shall be negotiated in an arms-reach manner and shall be treated as independent transactions. While Fairfield University may accept equity as partial payment for any such license, this equity is separate and distinct from the founders equity mentioned above. Once funding is secured, the Newco shall operate independently of Fairfield University. Fairfield University shall strive to place one representative with voting privileges on the board of directors. Ongoing faculty participation with the Newco shall be governed by the Fairfield University conflict of interest and commitment policies.

For purposes of clarification note that this section on New Venture formation defines the relative Founder's share of all acknowledged, full-share university founders. Any license that is executed with the new venture is an independent transaction and will be treated in accordance with this Intellectual Property Policy; including royalty sharing of any revenues generated by the license. Any net proceeds from the University's share in Newco will be distributed according to the royalty sharing agreement in this policy and subject to its restrictions and qualifications.

### **Inventions Not under University Auspices.**

Inventions by University employees usually result from teaching, research, or other intellectual activity involving University facilities or resources. Accordingly, all inventions by University employees must be reported to the Senior Vice President for Academic Affairs. When the University determines that an invention by a University employee is unrelated to the activities for which the individual is employed and has not involved the use of significant University facilities, then the University will make no claim to such an invention.

An invention made by a faculty member in the course of a paid consulting engagement for a company will be assigned to the faculty member or company (as they agree) only if the consulting work falls within the bounds set by the University for paid outside work and the invention was not made using significant University resources. If a faculty member proposes to use significant University resources in service of a consulting arrangement with an outside

entity, then the employee must notify their Dean and the SVPAA as would be appropriate and involve the office of technology transfer in negotiating appropriate sharing of IP rights with the outside entity. All inventions made by Fairfield University faculty members in the course of consulting, and any assignments of rights to such inventions, must be reported promptly to the Senior Vice President for Academic Affairs. That Office will agree to abide by reasonable confidentiality restrictions for disclosures of inventions and assignments made in the course of consulting.

#### **When Arrangements with Outside Organizations Override This Policy.**

Arrangements with outside organizations that propose terms which are exceptions to this Policy must be submitted to the Senior Vice President for Academic Affairs for review by the University. If approved by the University the terms shall be binding upon all members of the faculty, staff, and employees of the University conducting such research or utilizing such facilities, and will supersede the provisions of the intellectual property policy to the extent that the terms are inconsistent therewith.

#### **Governmental Rights in Certain Inventions.**

Current governmental regulations permit educational institutions to retain rights and title to patentable inventions which result from federally funded experimental, developmental and research work. Retention of rights by University is contingent upon fulfilling of a number of obligations on the part of the University and of the Inventor(s) and these obligations must be discharged in order to protect the interests of all parties. Though the University may retain rights and title to such patentable inventions, the federal government retains a royalty free license and places certain other restrictions upon the ultimate disposition of the patents(s). Incumbent upon members of the University community who apply for and receive federal funding to support research or who use federal monies in the conduct of their research is the requirement for written agreement that they will promptly disclose patentable inventions to the University and will execute all instruments necessary to protect the rights of the government and/or the University. Forms for this agreement will be provided to all faculty and will be available for other participants (i.e. collaborators, post-doctoral students, graduate students) from the appropriate departmental chairman.

AC: 03/0702011

## **Appendix 19:**

### **Fairfield University Non-Discrimination and Harassment Policy**

#### **I. POLICY STATEMENT**

##### **A. Discrimination**

Fairfield University does not discriminate on the basis of race, color, sex, sexual orientation, gender identity, marital status, veteran's status, political ideology, religion, national or ethnic origin, age, or disability in the administration of educational policies or programs, admission and employment policies, scholarship and loan programs, and athletic and other school-administered programs. As a Catholic, Jesuit institution, Fairfield University values and celebrates the diverse backgrounds, cultures, experiences and perspectives of our community. Through the promotion and protection of diversity, the Fairfield University community creates an environment where holistic development, academic excellence and a commitment to the well-being of others can flourish. The University is committed to maintaining a diverse and multicultural community in which the dignity and worth of each of its members is respected. The University strongly condemns any unlawful or wrongful discrimination against the rights of others.

##### **B. Harassment**

Fairfield University is committed to a workplace and educational environment that is free of sexual and other unlawful harassment and where the dignity and worth of each of its members is respected. Sexual harassment is a type of discrimination prohibited by federal laws such as Title IX of the Education Amendments of 1972 and Title VII of the Civil Rights Act of 1964 and by Connecticut law. As a matter of University policy, sexual or other unlawful harassment occurring in the course of any University activity is prohibited. Harassment on the basis of race, color, sex, sexual orientation, gender identity, marital status, veteran's status, political ideology, religion, national or ethnic origin, age, or disability is a violation of this policy.

##### **C. Scope**

These policies on discrimination and harassment apply to all Fairfield University students, student groups, faculty, staff, administrators, independent contractors and all others engaged in University activities. Consistent with Title IX, Fairfield University has designated a Title IX Compliance Coordinator as the individual responsible for Title IX compliance.

##### **D. Relationship with Academic Freedom and Freedom of Expression**

Fairfield University is committed to protecting the academic freedom of its faculty and the freedom of expression of all members of the University community. That commitment is reflected in the University's policies on academic freedom and freedom of expression.

Academic freedom and freedom of expression include the expression of ideas, controversial and otherwise, both within and outside the classroom and in keeping with different responsibilities within the workplace on campus. The policies on discrimination and harassment are to be applied in a manner that is balanced against, consistent with, and protective of the rights of academic freedom and freedom of expression of all parties to a complaint and as set forth in University policy.

## **II. PROHIBITED CONDUCT**

### **A. Discrimination**

Fairfield University values, celebrates and supports a diverse living and learning community. Consistent with this and with the law, Fairfield University does not discriminate on the bases of race, color, sex, sexual orientation, gender identity, marital status, veteran's status, political ideology, religion, national or ethnic origin, age, or disability in the administration of educational policies or programs, admission and employment policies, scholarship and loan programs, and athletic and other school-administered programs. It is a violation of this policy to discriminate or retaliate against any student because he or she has opposed any discriminatory practice at the University, or because the student has filed a complaint, testified, assisted or participated in any process designed to address and/or resolve an allegation of discrimination.

### **B. Harassment**

Fairfield University defines harassment as verbal or physical conduct based on a person's race, color, sex, sexual orientation, gender identity, marital status, veteran's status, political ideology, religion, national or ethnic origin, age, or disability that is sufficiently severe, pervasive, persistent or patently offensive that it has the purpose or effect of denying or limiting a student's ability to participate in or benefit from the educational program, or that creates an intimidating, hostile or offensive working, educational or living environment. To constitute harassment, the conduct must include something beyond the mere expression of views, words, symbols or thoughts that some person may find offensive. The alleged conduct will be viewed from both a subjective (the complainant's) and an objective ("reasonable person's") viewpoint, and take into consideration all surrounding circumstances. Included within this definition is bias-related harassment, which is language or behaviors that demonstrate bias against persons or groups because of race, color, ethnicity, religion, faith, national origin, political orientation

or sexual orientation. Some incidents of bias-related harassment may rise to the level of a hate crime. Hate crimes are defined by state and federal law, and typically involve a crime that is motivated by bias, and results in physical harm to person or property.

### **C. Sexual Harassment**

Sexual harassment is a form of harassment with specific, distinguishing characteristics. Sexual harassment includes but is not limited to unwelcome sexual advances, direct or indirect sexual demands, requests for sexual favors, sexual comments, gestures, or other physical actions of a sexual nature when:

1. Submission of such conduct is made either explicitly or implicitly a term or condition of an individual's educational success,
2. Submission to or rejection of such conduct by an individual is used as the basis for educational decisions affecting the individual, or
3. Such conduct has the purpose or effect of unreasonably interfering with an individual's academic performance or creating an intimidating, hostile, or offensive educational environment.

Furthermore, the University considers it a violation of an individual's rights to retaliate against a person who has initiated an inquiry or complaint having to do with harassment, and/or to instigate any other person to participate in such activity.

## **III. PROCEDURES FOR RESOLUTION OF CLAIMS OF DISCRIMINATION OR HARASSMENT**

### **A. Complaints of Discrimination or Harassment against a student, student group or student organization**

Students with concerns about possible discriminatory treatment, harassment or sexual harassment by another student, student group or student organization are encouraged to contact the Office of the Dean of Students at Ext. 4211. The Office of the Dean of Students will review options for addressing the situation. In cases of physical assault or destruction of property, individuals are also encouraged to report such matters to the Department of Public

Safety or the Fairfield Police Department. In cases of alleged discrimination, individuals may also contact the Office for Civil Rights of the U.S. Department of Education.

At Fairfield University, there are both informal and formal procedures available to a student to address concerns about discrimination or harassment by students or student groups or organizations. They can be described as follows:

#### **Informal Complaint Procedure:**

The informal procedure is voluntary in nature and is designed to achieve a resolution to which both the complainant and the respondent agree. An informal complaint may be made verbally or in writing to the Office of the Dean of Students. A member of the professional staff in that office will offer options to the complainant, including filing a formal complaint. The informal complaint procedure can have several conclusions. The complainant may only wish to discuss the matter with a neutral third party. The complainant may ask that the Dean of Students or designee to act as a mediator to talk to the other party and determine whether an informal resolution can be reached. Additionally, the Dean of Students office will offer the complainant the option of submitting the informal complaint to the Fairfield University Peer Mediation Program for resolution. When reviewing options, the contact person in the Office of the Dean of Students will not draw any formal conclusion as to whether discrimination or harassment has occurred. If a resolution is reached, that will typically bring closure to the matter. If a resolution cannot be reached through these informal processes, the formal complaint procedure may be used as an option by the complainant, respondent or University. Allegations of non-consensual sexual contact or intercourse will not be addressed through mediation but can be addressed through the Formal Complaint Procedure.

#### **Formal Complaint Procedure:**

A student may file a formal complaint of discrimination, harassment (including sexual harassment) without having gone through the informal complaint process. A formal complaint of discrimination or harassment by a student against another student or student group/organization should be in writing, and should be submitted to the Office of the Dean of Students. The Discrimination, Harassment & Sexual Assault Board (DHSA Board) is a subset of the Student Conduct Board. Like the Student Conduct Board, the DHSA Board is a five-member body consisting of two voting students, one voting academic dean or assistant dean, one voting faculty member, and a non-voting chairperson. As a subset of the Student Conduct Board, DHSA Board members draw from the same pool of individuals designated to serve on Student Conduct Boards, except that DHSA Board members are specifically designated and undergo appropriate training to assist in the processing of formal complaints by students



against students alleging discrimination, harassment (including sexual harassment) and sexual assault. As a subset of the Student Conduct Board, the DHSA Board follows the same procedures followed by the Student Conduct Board and set forth in the Student Handbook, except for differences in the appeal process, which are described more fully in this policy. In executing its functions, particularly in the area of non-sexual harassment complaints, the DHSA Board is guided by the principles set forth in and relationship between this Discrimination and Harassment Policy and the principles set forth in the Academic Freedom and Freedom of Expression policies. (The DHSA Board is also designated to hear formal complaints brought by students against other students under the University's Sexual Assault Policy).

A student, student group or student organization found responsible for a violation of the University's policies on discrimination and harassment, including sexual harassment, will be subject to appropriate sanctions, including but not limited to counseling, education, restitution, housing re-assignment, no-contact orders, dismissal or expulsion, and in the case of student groups or organizations, sanctions may include the cessation of funding and/or the loss of recognition by Fairfield University. Separate from these sanctions, students may also be exposed to civil and/or criminal action.

Appeals of the DHSA Board's decision will follow the same procedure for appeals of the Student Conduct Board as set forth in the Student Handbook, except that all appeals will be submitted to both the Senior Vice President for Academic Affairs and the Vice President for Administrative and Student Affairs. Depending on the nature of the matter being appealed, the Senior Vice President for Academic Affairs and the Vice President for Administrative and Student Affairs will determine in their sole discretion whether to rule on the appeal jointly, or whether one of them will handle the appeal exclusively. The decision on an appeal from the DHSA board is final.

#### **B. Complaints of Discrimination or Harassment Against the University, a Member of the Faculty, Staff or Administration**

Students with concerns about possible discriminatory treatment, harassment or sexual harassment by the University, a member of the faculty, staff, or administration in connection with a university program, service or activity and/or who feel they have been discriminated against or subjected to discrimination or harassment by a University employee which meets the definitions above and/or violates federal statutes Title VI and/or Title IX are urged to report the matter to the Title IX Compliance Coordinator. In these cases where the discrimination complaint is against the University, a member of the faculty, staff or administration, students may follow the following informal and formal complaint procedures:

### **Informal Complaint Procedure:**

The student may submit a verbal or written complaint to the Title IX Compliance Coordinator. If the reported incident is not of a serious nature or in situations where miscommunication is occurring, the Compliance Coordinator may attempt to resolve the matter through discussion and mediation with the accused's supervisor.

In situations where serious misconduct is reported:

1. The Title IX Compliance Coordinator will notify the accused's supervisor.
2. The supervisor will meet with the accused and inform him/her of the charges.
3. The supervisor may address the matter individually with the accused or may appoint a committee to investigate and determine the appropriate action. Handling will depend upon the nature of the situation and in consideration of any recommendations offered by the Title IX Coordinator.
4. The committee will investigate the charges and make a recommendation to the accused's supervisor for sanctions, should evidence of a violation be found.
5. The committee will make suggestions for remedies for the complainant if applicable.
6. The complainant, the accused, and the Title IX Coordinator will be notified of the disposition in writing within 45 days.
7. The supervisor will have final authority regarding an informal complaint.

### **Formal Complaint Procedure:**

If the student is not satisfied with the above resolution:

1. The student may submit a written complaint within 30 days to the Compliance Coordinator stating the nature of the complaint, a description of the incident(s) and any possible witnesses, and the remedy sought.

2. The Compliance Coordinator will convene a Resolution Committee consisting of representatives of the University community.
3. The Committee will consider the evidence presented, determine the facts, and recommend a decision to the University President within 45 days.
4. The University President will have the final authority. Fairfield University prohibits retaliation against a person filing a complaint of harassment or assisting/participating in the investigation of the complaint regardless of the outcome of the initial complaint.

AC: 5/3/2010 and 11/1/2010



## **Appendix 20: Four Year Honors Program**

### FOUR-YEAR HONORS PROGRAM

#### I. OBJECTIVES

The aim of this proposal is to provide a workable Honors Program that is modest in its resource requirements, can be put in place with the minimum of forward planning, and is easily modifiable as time goes on.

The overall objective of the Honors Program is to engage talented students in a challenging program of study through a carefully-crafted series of courses and seminars. The emphasis will be on seminars and the intention is that the Program will complement students' studies in both core and major, without having a negative impact upon their freedom to pursue Minors or elective courses. The following particular aims can be identified. The Program wishes to lead the students:

1. to become generally culturally literate, that is, to study the origins of the Western cultural and intellectual tradition and the main lines of its development, in the Humanities, the Arts, the social and natural sciences;
2. to be familiar with the challenges to the idea of "the Western tradition," from certain groups within Western culture, particularly from racial minorities and from feminist theory;
3. to develop a sensitivity to and acquaintance with cultures other than their own;
4. to learn to make connections between disciplines, and to ask the larger questions which transcend the boundaries of any single discipline;
5. to bring the Honors experience to bear upon the field of their chosen major at a high level of accomplishment through the completion of an independent project appropriate to the particular discipline.

#### II. NARRATIVE DESCRIPTION OF PROPOSED PROJECT

Entering Honors students will be selected from among those who apply for consideration, after interviews which will take place during the June Orientation for incoming freshmen. Mechanisms will be instituted which provide both for retiring those individuals from the Program, at any stage, who fail to meet the standards required, and for admitting others to the Program up to the beginning of the Sophomore year. The intention will be to accept an initial group of 25-30 freshmen, and at no point to allow the numbers in any given year to exceed 35.

In the Freshman year, Honors students will be required to take a two-semester course and an accompanying two-semester seminar on "The Western Tradition." The course will focus particularly on the evolution of philosophy, society, science and the arts. The seminar will be an intensive examination of primary sources selected from this tradition. Both course and seminar will be designed to function in tandem, though in all probability they will be taught by different individuals.

In the first semester of Sophomore year, Honors students will participate in a course or seminar which requires them to attend to the challenges to this Western tradition which have arisen from within the culture itself, principally those of racial minorities and of feminist cultural theory.

The second semester of the Sophomore year will be devoted entirely to the study of one non-Western culture, through a seminar or course led by a specialist in that culture.

The Program will continue in the Junior year with a two-semester seminar, during which students will write a substantial paper as part of the credit for the seminar. The seminar will be thematic, deliberately interdisciplinary and cross-cultural. As examples, I propose the development of seminars on the following themes, among others: The Idea of Progress and Its Critics; Genius; Models, Metaphors and Creativity; Chaos.

The Senior year of the Program will be optional at the discretion of the student's Major department. Where instituted, it will require Honors students to complete a substantial piece of work within their chosen Major. This portion of the Program will be administered through the respective departments and curriculum areas.

Throughout the entire Program, Honors students will also be expected to participate in a series of lectures, discussions and cultural events. While no "extra credit" will be given for these, participation in these will be accounted an integral part of the Program. As is currently the case, many of these events will be open to the general student body. The budget of the Honors Program thus enriches the intellectual climate of the entire institution.

### III. FOUR-YEAR HONORS PROGRAM

#### First Year: The Western Tradition

The first year of study will explore selected ideas, issues, and assumptions of Western intellectual history by focusing on developments in philosophy, literature, society, science, and the arts.

\* Fall Semester: 2 sections of HR 100 "Ideas That Shaped the West," each a four credit course meeting 4 times a week and team-taught by 2 faculty members. Each section will enroll 24-25 students. Two (2) of the 4 weekly meetings will be devoted to a faculty member's presentation of subject matter to the entire section. The remaining two weekly sessions will

have the section divide in half (12-13 students) to meet in seminar discussion of the material at which a member of the faculty-team will preside.

\* Spring Semester: 2 sections of HR 102 "Minds and Bodies," each a four credit course meeting 4 times a week and team-taught by 2 faculty members. Each section will enroll 24-25 students. Two (2) of the 4 weekly meetings will be devoted to a faculty member's presentation of subject matter to the entire section. The remaining two weekly sessions will have the section divide in half (12-13 students) to meet in seminar discussion of the material at which a member of the faculty-team will preside.

### Second Year: Beyond the Western Paradigm

The second year of study will examine alternatives to the configuration of knowledge, art, power, and justice in the classical, majority culture of the West either by considering critical voices traditionally marginalized in that culture or by investigating the assumptions of a non-Western culture. The second year will also provide an opportunity for Honors students to pursue their general education in small seminars reserved for Honors students.

\* Fall Semester: 1 section of HR 200 "Challenges to the Western Tradition," a 3-credit course taught by 1 faculty member to a student enrollment of 24-25.

2 seminars, each taught as a 3-credit course by 1 faculty member in his or her discipline to a student enrollment of 12-13. Each seminar will seek to cultivate the skills of critical thinking, cogent argumentation, and effective writing.

\* Spring Semester: 1 section of HR 201 "Non-Western Culture," a 3-credit course taught by 1 faculty member to a student enrollment of 24-25.

2 seminars, each taught as a 3-credit course by a faculty member in her or his discipline to a student enrollment of 12-13. Each seminar will seek to cultivate the skills of critical thinking, cogent argumentation, and effective writing.

Note: Students enrolled in HR 200 in the fall semester will enroll in one of the spring-semester seminars. Students enrolled in one of the fall-semester seminars will enroll in HR 201 in the spring semester.

### Third Year: Interdisciplinary Inquiry

The third year of study will stress the value of interdisciplinary approaches to scholarly inquiry by investigating a wide-ranging theme from the perspective of at least 2 disciplines. The third year will also provide an opportunity for Honors students to pursue their general education in small seminars reserved for Honors students.

\* Fall Semester: 1 section of HR 300 "Interdisciplinary Inquiry," a 3-credit course taught by 2 faculty members to a student enrollment of 24-25.

2 seminars, each taught as a 3-credit course by 1 faculty member in his or her discipline to a student enrollment of 12-13. Each seminar will seek to cultivate the skills of critical thinking, cogent argumentation, and effective writing.

\* Spring Semester: 1 section of HR 300 "Interdisciplinary Inquiry," a 3-credit course taught by 2 faculty members to a student enrollment of 24-25.

2 seminars, each taught as a 3-credit course by 1 faculty member in her or his discipline to a student enrollment of 12-13. Each seminar will seek to cultivate the skills of critical thinking, cogent argumentation, and effective writing.

Note: Students enrolled in HR 300 in the fall semester will enroll in one of the spring-semester seminars. Students enrolled in one of the fall semester seminars will enroll in HR 300 in the spring semester.

Excursus on the Second- and Third Year Seminars: Each second- and third-year seminar is open to any second- or third-year Honors student. These seminars function as Honors courses *sui generis*. They may not be counted toward the fulfillment of core curriculum requirements, or major or minor requirements. Students may not enroll in any seminar devoted to a subject matter in which they have declared a major or a minor. Ideally, students will choose the seminars on the basis of intellectual interest alone. These courses will be 100-level courses, though professors will be encouraged to present the subject matter at a level that takes into account the abilities of the audience. An effort will be made to offer seminars that represent the various curricular areas.

#### Fourth Year: Senior Project in the Major

The Senior Honors Project provides an opportunity for the student to engage in mature research under the supervision of a faculty mentor. The course carries 3 credits earned in the discipline in which the research is conducted and these credits are counted both toward the completion of major and Honors requirements. In the Humanities, the project should be a writing 25-50 pages in length, or more if appropriate. In creative writing and studio art, the project should take the form of a significant portfolio. In the Natural Sciences, Mathematics, Social Sciences, and in the various areas of Business, the written project should follow the discipline's acceptable format for publication.

The Honors Program in this proposed, revised structure comprises 23 credits. Twenty (20) credits are earned through Honors courses completed in the first three years of the Program, and 3 credits are recognized of an independent study usually undertaken in the student's major during the senior year.

The student would be exempt from 21 core credits. Honors students may choose their core exemptions from no more than 1 course in each of 4 of the following areas or disciplines: natural science, History, social/behavioral science, Philosophy, Religious Studies, and Visual and Performing Arts. (Students in the School of Business may not exempt themselves from the social



and behavioral sciences because their major requires that they take EC 11 and EC 12.) Additionally, Honors students are exempted from the English core (3 courses) due to the strong writing component in Honors courses. Mathematics and Languages are omitted from the selection because their core requirements are full year sequences. The student's second year of Honors course work will satisfy either the diversity requirement or the world cultures requirement depending on the course the student completes.

#### IV. INTEGRATION OF HONORS PROGRAM WITH CORE & MAJOR

The standard pattern for Fairfield students is:

Core 60 credits  
Major 30 credits  
Other 30 credits

The pattern for Honors students (as outlined above) would be:

Core 36 credits  
Major 30 credits  
Honors 30 credits (of which 6 would be in major)  
Other 24 credits

The breakdown of requirements would be as follows:

a. Core: Math 6  
Mod.Lang. 6  
R.S. 3  
Philos. 3  
Hist. 3  
Fine Arts 3  
Soc. Sci. 6  
Nat. Sci. 6

b. Major: thirty credits, but all or part of the six-credit Major Honors might be added on to these thirty credits.

c. Honors:

Western Tradition	12 credits
Challenges to the Western Tradition	3 credits
Non-western Culture	3 credits
Interdisciplinary Seminar	6 credits
Major honors	6 credits

#### V. EXPLANATORY NOTES

1. As outlined above, this proposal has implications for the core curriculum to be required of Honors students. Specifically, the proposal would make the following modifications:

Mathematics, Social and Natural Sciences and Modern Language requirements would remain the same.

Fine Arts, History, Philosophy and Religious Studies core would be reduced to one course in each discipline.

The core requirement in English would be eliminated, since: - the single biggest component of the Freshman and Sophomore year program would be literature;

- the seminars throughout the first three years would all be "writing-intensive."

2. The Special Events component of the Honors Program would include lectures, theatre, exhibits, cinema and a regular colloquium in which Honors students from all four years of the program would meet to discuss issues of intellectual and cultural importance.

3. Need for faculty to teach in the Program.

a. The Program is designed to be modest on the need for faculty and for team-teaching.

b. The widest possible variety of faculty will be utilized in the Program.

c. Assuming that there would be 25-30 students per year in the Honors Program, and that seminars would be taught to groups of no more than 15, then the needs would be as follows:

i. Freshman year: 9 hours of faculty time per semester, to include two seminar sections and one lecture course. This could be one person, three different people, or some permutation of two. It need not be the same faculty in both semesters.

ii. Sophomore year: 6 hours of faculty time per semester, to run two seminar sections per semester, or 3 hours if the components are run as courses rather than as seminars. Once again, this could be one person or two, remaining the same or changing on a semester by semester basis.

iii. Junior year: 6-12 hours of faculty time per semester, to run two seminar sections per semester. This is the component of the Program where team-teaching, as on the currently operative model of the Honors Program, might be most valuable. The necessity for this, however, would depend on the particular theme.

iv. Senior year: whatever time the individual departments need, perhaps on an independent study basis, for the major honors project.

v. Much of this faculty time will produce a lightening of the burden of core teaching in the Humanities departments, and so is not a pure "add-on" to teaching needs.

vi. When the full four-year program is in place, total faculty hours required, excluding major honors, will be:

- Fall Semester, 18-21 hours

- Spring Semester, 18-21 hours.  
[21-24 if the Junior year seminar is team-taught.]

4. Resources necessary for implementation:

a. While the budget for speakers and special events can remain at the present level through the 1991-92 year, thereafter it will need to be enlarged each year as the Program grows and the number of students and events to be accommodated increase.

b. There needs to be some reconsideration given to the role and responsibilities of the Program Director. The Director will certainly eventually need more secretarial support.

c. Resources will be required to enable the first group of participating faculty to design the necessary new courses, namely:

- The Western Tradition (two-semester lecture course)
- The Western Tradition (two-semester seminar)
- Challenges to the Western Tradition (one-sem. seminar)
- Non-western Culture (one-semester seminar)
- Interdisciplinary Seminar (two semesters)

VI. TIMETABLE FOR IMPLEMENTATION

1991-92: one-year Junior/Senior Honors Program continues as usual.

1992-93: Freshman year Program begins, with Junior year Program implemented as a parallel one-year Honors Program for current Juniors or Seniors.

1993-94: Freshman and Sophomore Programs in place. Junior year Program continues for current Juniors/Seniors as a one-year Honors Program.

1994-95: Freshman, Sophomore and Junior Year Programs in place.

1995-96: All four years in place.

VII. POSSIBLE VARIATIONS AND MODIFICATIONS

1. Both natural and social science core requirements could be replaced by specially designed Honors requirements, or by specially designated Honors courses offered through the respective departments. It seems prudent at the present time to postpone any implementation of this possibility until such time as the basic units of the proposed Program are in place.

2. The fourth year of Major Honors could be dispensed with, or made optional. In the latter case, students entering the Honors Program at the end of their Freshman year could then complete the entire three-year Program, running one year behind their classmates.

AC: 12/9/91

AC: 11/2/98



## **Appendix 21: Internship Programs**

The purpose of the internship program is to provide a student with the opportunity of earning a maximum of six academic credits for experience of direct involvement in the public or private sector whose purpose and service has relevance to the student's academic major. It is expected that the internship will be mutually beneficial to both the student and the organization in which the student is involved. As cooperative efforts, it is expected that the internship experience will allow students an opportunity for practical application and testing of principles and theories they are learning in their major field of study. The internship will not substitute for any other stated course(s) in the student's major field of study.

### **Student Eligibility:**

- 1) The student may normally undertake an internship only after completion of the sophomore year of study.
- 2) The student must be in good academic standing as defined by the individual school (Business, College of Arts and Sciences, Nursing, et al.) in which the student is pursuing his/her major.
- 3) The student must obtain approval to register for an internship from a faculty internship advisor. The final grade in the internship must be determined and officially recorded by the faculty member.

### **Requirements of the Student:**

- 1) Register for the designated internship course in the student's department or school.
- 2) The student must commit him or herself to work a specified number of hours per week, the requirements of which are determined by the student's department or school.
- 3) The student agrees to fulfill the duties and responsibilities of the internship as developed between the faculty advisor and the organization providing the internship.
- 4) During the internship the student must meet periodically with his/her designated faculty internship advisor or internship administrator as required.
- 5) The student must fulfill the academic component of the internship as defined by the student's department or school.

### **Requirements of the Faculty Internship Advisor or Internship Administrator:**

1) The faculty internship advisor or internship administrator to whom the intern is assigned accepts the major responsibility for maintaining the quality and relevance of the work involved in the internship.

2) The faculty internship advisor or internship administrator will maintain periodic contact with both the student intern and the intern's site supervisor in order to assess progress in fulfilling the goals of the internship.

3) The faculty internship advisor or internship administrator is responsible for developing and monitoring the specific requirements of the academic component of the internship as defined by the particular department or school. This includes the final evaluation of the student's performance and issuing of a grade.

#### Requirements of the Organization:

1) The organization must provide the number of hours of program-related work per week as specified by the student's department or school.

2) The organization must ensure that work assignments are sufficiently challenging to broaden and extend the student's understanding of the subject area.

3) The organization must designate a specific individual within the organization with the responsibility to assign and supervise the work of the intern. The University regards it as ideal when the individual assigned to the student can serve as a role model and resource person.

4) The organization must provide a personnel evaluation of the student at the end of the semester, using a form provided by the student's department or school.

#### Exceptions:

Policy exceptions to this statement require the approval and recommendation of the appropriate departmental chairman and dean, and the final approval of the curriculum committee.

CR: 11/2/87  
amended AC: 3/8/98  
amended AC: 4/02/2001

## **Appendix 22:**

### **Student Academic Grievance Procedure**

#### Purpose:

Procedures for review of academic grievances protect the rights of students, faculty, and the University by providing mechanisms for equitable problem solving.

#### Types of Grievances:

A grievance is defined as a complaint of unfair treatment for which a specific remedy is sought. This procedure is concerned solely with academic grievances. It excludes circumstances that may give rise to a complaint for which explicit redress is neither called for nor sought, or for those for which other structures within the university serve as an agency for resolution.

Academic grievances relate to procedural appeals, academic dishonesty appeals, or quality of work appeals.

Procedural appeals are defined as those seeking a remedy in which no issue of the quality of a student's work is involved. For example, a student might contend that the professor failed to follow previously announced mechanisms of evaluation.

Academic dishonesty appeals are defined as those seeking a remedy because of a dispute over whether plagiarism, cheating, or other acts of academic dishonesty occurred. Remedies would include but not be limited to removal of a file letter, change of grade, or submitting new or revised work.

Quality of work appeals are defined as those seeking a remedy, following the completion of a course, because the evaluation of the quality of a student's coursework is alleged to be prejudiced or capricious.

#### Time Limits:

The procedure herein defined must be initiated within a reasonable period (usually a semester) after the event that is the subject of the grievance, and for graduating seniors, no later than one semester after a degree is awarded.

#### Procedure - Informal:

Step one: The student attempts to resolve any academic grievance with the faculty member. If, following this initial attempt at resolution, the student remains convinced that a grievance exists, she or he advances to step two.

Step two: The student consults with the chair or program director, bringing written documentation of the process to this point. If the student continues to assert that a grievance exists after attempted reconciliation, she or he advances to step three.

Step three: The student presents the grievance to the dean of the school in which the course was offered, bringing to this meeting documentation of steps one and two. After conversation with the instructor of record and the department chair/program director, the dean will inform the student whether or not the grade shall be changed by the instructor of record. If the student is dissatisfied with the outcome, the dean will inform the student of the right to initiate formal review procedures.

#### Procedure - Formal:

Step one: If the student still believes that the grievance remains unresolved following the informal procedures above, she or he initiates the formal review procedure by making a written request for a formal hearing through the dean to the SVPAA. Such a request should define the grievance and be accompanied by documentation of completion of the informal process. It should also be accompanied by the dean's opinion of the grievance.

Step two: The SVPAA determines whether the grievance merits further attention. If not, the student is so informed. If, however, the grievance does merit further attention, the SVPAA determines whether it is a procedural appeal, an academic dishonesty appeal, or a quality of work appeal.

- For procedural appeals and academic dishonesty appeals, the SVPAA will convene a Grievance Committee according to the process described below, providing the committee with the written documentation resulting from the previous steps in the appeal process.
- For quality of work appeals, the SVPAA will request that the chair of the department through which the course is taught, or if the chair is the subject of the grievance a senior member of the department, assemble an ad hoc committee of three department/program members to review the appeal, providing the committee with the written documentation resulting from the previous steps in the appeal process.

#### Step three:

- For procedural appeals and academic dishonesty appeals, the Grievance Committee takes whatever steps are deemed appropriate to render a recommendation for resolving the grievance. The committee adheres to due process procedures analogous to those in the Faculty Handbook. (See addendum #1 below.)

For quality of work appeals, the department committee shall make itself available to meet and discuss the appeal with the student, and shall discuss the appeal with the instructor of record for the course. If the final consensus of the department committee is that the academic evaluation that led to the course grade was neither prejudiced nor capricious, the appeals process ends here.

#### Step four:



- For procedural appeals and academic dishonesty appeals, the recommendation from the Grievance Committee is forwarded to the SVPAA in written form, accompanied, if necessary, by any supporting data that formed the basis of the recommendation. Should the Grievance Committee conclude that a change of grade is warranted, the two faculty members on the Grievance Committee will recommend an appropriate grade. In case of disagreement between the two faculty members, the dean chairing the Grievance Committee will decide which of the two recommended grades to accept. The recommended grade change shall be included in the report.
- For quality of work appeals, if the final consensus of the department committee is that the academic evaluation that led to the course grade was prejudiced or capricious, the department committee will recommend an alternative course grade. If the instructor of record agrees to change the grade to that recommended by the committee, the appeals process ends here. If the instructor of record declines to change the grade, the department committee shall prepare a written report, including the department committee's recommended grade. The report will be forwarded to the SVPAA and the instructor of record, who may send the SVPAA a written response to the report.

Step five:

- For procedural appeals and academic dishonesty appeals, the SVPAA renders a final and binding judgment, notifying all involved parties. If such an appeal involves a dispute over a course grade given by a faculty member, the SVPAA is the only university official empowered to change that grade, and then only to the grade recommended by the Grievance Committee.
- For quality of work appeals, if the SVPAA agrees with the department committee that the academic evaluation that led to the course grade was prejudiced or capricious, she or he is authorized to change the course grade to the grade recommended in the department committee's report.
- Structure of the Grievance Committee:

The structure of the Grievance Committee will be as follows:

- (i) Two faculty members to be selected from the Student Academic Grievance Board. The faculty member against whom the grievance has been directed will propose four names from that panel, the student will strike two of those names, and the two remaining faculty members will serve.
- (ii) Two students to be selected from a standing pool of eight students elected by the student government. The student filing the grievance will propose four names from that panel, the faculty member will strike two of those names, and the two remaining students will serve.

In the event that any faculty member or student selected through the foregoing process is unable to meet, another elected member of the panel will serve as an alternate.

The Grievance Committee will be chaired by a dean (other than the dean of the school in which the course was offered) to be selected by the SVPAA. The dean so selected will have no vote except in the event of a tie, and will be responsible for overseeing the selection of the Grievance Committee, convening and conducting the committee meetings, and preparing the committee's report(s) and other appropriate documentation.

#### Addendum #1

#### DUE PROCESS PROCEDURE

- a. Both the student and the faculty member shall have the right to be present and to be accompanied by a personal advisor or counsel throughout the hearing.
- b. Both the student and the faculty member shall have the right to present and examine witnesses and to cross-examine witnesses.
- c. The administration shall make available to both the student and the faculty member such authority as it may possess to require the presence of witnesses.
- d. The Grievance Committee shall promptly and forthrightly adjudicate the issues.
- e. The full text of the findings and conclusions of the Grievance Committee shall be made available in identical form and at the same time to both the student and the faculty member. The cost shall be met by the university.
- f. In the absence of a defect in procedure, recommendations shall be made to the SVPAA by the Grievance Committee as to possible action in the case.
- g. At any time should the basis for an informal hearing appear, the procedure may become informal in nature.

Adapted from the Faculty Handbook

AC: 04/13/1982

AC: 10/3/2005

AC: 05/03/2010

## Appendix 23: University Admissions and Tuition Policy

### I. PURPOSE

Admission to undergraduate University academic programs with tuition grants-in-aid for children of full time faculty is a benefit included in the Faculty Handbook. This policy is designed to clarify the language in Section II. B. 6 of the handbook. It is to be published as a University Personnel Procedure and is not to be changed except by the standard procedures applying to Handbook amendments.

### II. SCOPE

This policy shall apply to all legally dependent eligible children of full-time faculty members, including adopted children and step-children, who begin matriculation at the University before reaching age 24. In case a child's matriculation is delayed because of health or military service, the age limit will be extended by the length of such period of ill-health or service. If an eligible child leaves the University once matriculation has begun, he or she may return even though over the age limit. Children who do not matriculate at Fairfield University but are matriculating elsewhere may take up to six credits during the summer and three credits during the fall and spring semesters with tuition grants-in-aid. Legal dependency shall include: a) any child claimed by a full-time faculty member as a dependent for federal income tax purposes; b) any child who otherwise demonstrates, as determined by the University, substantial financial dependency upon a full-time faculty member; or c) in the case of divorced parents, any child who fulfills the terms of a) or b) as to either parent, or for whom a divorce decree obligates the faculty-member parent for payment of college tuition. Legal dependency must be demonstrated for the period for which the tuition grant-in-aid is sought.

### III. APPLICATION PROCEDURE

1. To ensure preferential consideration under this policy, a faculty member must inform the Academic Vice President of the fact that his or her child has applied for admission to the University on or before the deadline for submission of applications to the Office of Admissions.

2. If a faculty child is denied admission, his or her application shall be forwarded to a review committee, consisting of three faculty members, who shall be the Chair of the Academic Council, the Secretary of the General Faculty, and the Chair of the Committee on Admissions and Scholarships; the Academic Vice President; and one other administrator, appointed by the Academic Vice President, who is not associated with the Office of Admissions. The Committee shall review the application and shall make a recommendation as to whether the applicant should or should not be

admitted. The Academic Vice President shall communicate that recommendation to the President. The committee shall recommend admission of any applicant who can reasonably be expected to complete successfully the degree requirements of the relevant program. In judging whether the applicant can reasonable be expected to complete those requirements, the committee shall consider the applicant's high school rank, grade point average and scores on national examinations, in relation to those of other students in that class year who are admitted as special students, along with any other factors relevant to judging the likelihood of the applicant's successful completion of the program. The committee shall also take into consideration the special status of these students.

3. If the President either accepts a positive recommendation of the Committee or of the Academic Vice President, or rejects a negative recommendation, the applicant shall be admitted.

4. Upon rejecting a positive recommendation of the Committee, the President shall communicate the reasons to the Academic Vice President, who shall then communicate those reasons to the committee, in writing or in person.

AC: 3/28/88

For courses of shorter duration, once there is a sufficient number of students for a course to run Fairfield University will allow tuition grant-in-aid for dependents of Fairfield University faculty in accordance with the "University Admission and Tuition Policy" in the Journal of Record. Such grant-in-aid will extend to that portion of the fee attributable to the actual course, including instructor's reimbursement, office expenses, activities which incur no additional expense by the student's participation, and the like. The student must pay that portion of the fee attributable to individual expenses (airfare, room, fees, packaged tours, etc.). As a general rule, the participating student must pay those portions of the fee, which create an increased cost due to the student's participation.

The "University Admission and Tuition Policy" in the Journal of Record is intended to cover broad general categories of application of the Faculty Handbook's "Tuition Program for Children of Faculty" (II.B.6). It is impossible in the context to cover all imaginable circumstances. In the event of specific differences, the faculty member, the Academic Vice President, and the Faculty Secretary should meet to find a mutually satisfactory solution.

AC: 2/12/01

Appendix 24:  
**Fairfield University Computer Systems Acceptable Use Policy**

**November 13, 2000,**  
**Updated June 30, 2004**

This policy is designed to guide students, faculty, staff, and other authorized users in the acceptable use of computer and information systems and networks provided by Fairfield University according to the mission of the University. It is meant as an application of the principles of respect and reverence for every person, the development of community and the ideals of liberal education that are at the core of Fairfield's Catholic, Jesuit identity. This policy supersedes the "Acceptable Use Policy" (number 610) adopted 1/1/94. This policy does not supersede any other University policies, including those pertaining to student grievances, sexual harassment, and personal conduct (Policy No. 480, Item #27).

**Guiding Principles:**

The Fairfield University community is encouraged to make innovative and creative use of information technologies in support of education and research. Access to information representing a multitude of views on current and historical issues should be allowed for the interest, information and enlightenment of the University community. Consistent with other University policies, this policy is intended to respect the rights and obligations of Academic Freedom, and recognizes that the educational mission of the University is served in a variety of ways.

The University recognizes that the purpose of copyright is to protect the rights of the creators of intellectual property and to prevent the unauthorized use or sale of works available in the private sector. Publication, distribution, or broadcast of copyright protected materials without permission is prohibited. Also consistent with other University policies, an individual's right of access to computer materials should not be denied or abridged because of race, creed, color, age, national origin, gender, sexual orientation, or disability.

The University cannot protect individuals against the existence or receipt of material that may be offensive to them. As such, those who make use of electronic communications are warned that they may come across or be recipients of material they find offensive. Those who use e-mail and/or make information about themselves available on the Internet should be forewarned that the University cannot protect them from invasions of privacy and other possible dangers that could result from the individual's distribution of personal information.

In the interests of promoting the free exchange of ideas, Fairfield University does not exercise prior review of electronic documents available on its network and accessible locally or through the internet. Individuals who access materials available on the Fairfield University network should understand that these materials, unless otherwise posted, do not necessarily reflect the views of Fairfield University. Individuals who feel that particular materials posted on the

Fairfield University network are inappropriate or otherwise objectionable, may lodge a formal complaint through the office of Computing and Network Services.

Fairfield University computing and network resources are to be used for University-related research, instruction, learning, enrichment, dissemination of scholarly information, and administrative activities. The computing and network facilities of the University are limited and should be used wisely and carefully with consideration for the needs of others. Computers and network systems offer powerful tools for communication among members of the community and of communities outside the University. When used appropriately, these tools can enhance dialog and communication. When used unlawfully or inappropriately, however, these tools can infringe on the rights of others.

### **Responsibilities:**

The following examples, though not covering every situation, specify some of the responsibilities that accompany computer use at Fairfield and/or on networks to which Fairfield is connected.

1. Users may not attempt to modify the University system or network facilities or attempt to crash systems. They should not tamper with any software protections or restrictions placed on computer applications or files.
2. All users must obtain authorized computing accounts and may only use their own user names and passwords to access University computing and network systems. Users may not supply false or misleading data nor improperly obtain another's password in order to gain access to computers or network systems, data or information. The negligence or naiveté of another user in revealing an account name or password is not considered authorized use. Convenience of file or printer sharing is not sufficient reason for sharing a computer account. Users should not attempt to subvert the restrictions associated with their computer accounts.
3. Users are responsible for all use of their computer account(s). They should make appropriate use of the system and network-provided protection features and take precautions against others obtaining access to their computer resources. Individual password security is the responsibility of each user.
4. Users may not encroach on others' use of computer resources. Such activities would include, but are not limited to, tying up computer resources for excessive game playing or other trivial applications; sending harassing messages; sending frivolous or excessive messages, including chain letters, junk mail, and other types of broadcast messages, either locally or over the Internet; using excessive amounts of storage (as determined by Computing and Network Services policies); intentionally introducing any computer viruses, worms, Trojan Horses, or other rogue programs to Fairfield University hardware or software; physically damaging systems; or running grossly inefficient programs when efficient ones are available.
5. Users are responsible for making use of software and electronic materials in accordance with copyright and licensing restrictions and applicable university policies. Fairfield University equipment and software may not be used to violate copyright or the terms of

- any license agreement. No one may inspect, modify, distribute, or copy proprietary data, directories, programs, files, disks or other software without proper authorization.
6. Users must remember that information distributed through the University's computing and networking facilities is a form of publishing, and some of the same standards apply. For example, anything generated at Fairfield that is available on the Internet through the University's network represents the University and not just an individual. Even with disclaimers, the University is represented by its students, faculty and staff, and appropriate content, language and behavior is warranted.
  7. Users may not transmit any material that is unlawful, libelous, or encourages conduct that would constitute a criminal offense, give rise to civil liability, or otherwise violate any federal, state, or local laws. Materials made available or transmitted on University Computer systems must comply with all University policies governing conduct of students, faculty and staff.

### **Administration:**

The University encourages all members of its community to use electronic communications in a manner that is respectful to others. While respecting users' confidentiality and privacy, the University reserves the right to examine computer files and monitor electronic activity within the limits of other applicable University policies. The University may exercise this right in order to enforce its policies regarding harassment and the safety of individuals; to prevent the posting of proprietary software or electronic copies of electronic texts or images in disregard of copyright restrictions or contractual obligations; to safeguard the integrity of computers, networks, and data either at the University or elsewhere; and to protect the University against seriously damaging consequences. The University may restrict the use of its computers and network systems for electronic communications when faced with evidence of violation of University policies, or federal, state or local laws. The University reserves the right to limit access to its networks through University-owned or other computers, and to remove or limit access to material posted on University-owned computers.

All users are expected to conduct themselves consistent with these responsibilities and all other applicable University policies. Abuse of computing privileges will subject the user to disciplinary action according to established University procedures. Abuse of networks or computers at other sites through the use of Fairfield University resources will be treated as an abuse of computing privileges at the University. When appropriate, temporary restrictive actions will be taken by system or network administrators pending further disciplinary action; the loss of computing privileges may result.

The University and users recognize that all members of the University community are bound by federal, state and local laws relating to civil rights, harassment, copyright, security and other statutes relating to electronic media. It should be understood that this policy does not preclude enforcement under the laws and regulations of the United States of America nor the State of Connecticut.

This policy may be amended or changed by the University Vice-Presidents, and in matters affecting the Academic Division, with the mutual consent of the Academic Council.

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AC: 02/01/1993  
replaced AC: 04/30/2012



## **Appendix 25: Procedures in Support of Fairfield University's Computer Systems Acceptable Use Policy**

These procedures have been designated to complement rather than supersede existing University procedures, guidelines, and policies relating to computer use by faculty, staff and students. For this reason, final authority for the resolution of complaints, including any penalties rests with the appropriate chief administrator.

For the purposes of this policy, "appropriate chief administrator" shall be defined as the senior administrator who has jurisdiction over the alleged offender of the Fairfield University Computer Systems Acceptable Use Policy (hereafter cited as the "Acceptable Use Policy"). The "appropriate Chief administrator" for faculty is the Academic Vice President. The "appropriate chief administrator" for students will either be the Academic Vice President if the offense is related to academics, or the Vice President for Student Affairs in non-academic affairs. In circumstances where the jurisdictional lines are not clearly demarcated, authority will rest with both Vice Presidents, disputes being resolved by the President. In the case of non-faculty staff, the Associate Vice President of Human Resources is the chief administrator.

### **Guiding Principles**

These procedures were designed to balance seven interests:

- respecting the rights and responsibilities of academic freedom as defined in applicable policies for faculty, and students engaged in academic work;
- protecting the rights of the university;
- protecting users' privacy;
- protecting the System or network Administrator (SNA) in the performance of his or her job;
- allowing routine administrative actions that might affect users' files;
- providing a mechanism to allow non-routine, non-emergency access to users' files when it can be justified;
- providing guidelines for the occasional need to take immediate action. The ability of an SNA to read a user's files does not imply that he or she may do so without obtaining the approval required by these procedures.

### **Balancing Rights**

"Incidental personal use" of computing systems is an accepted and appropriate benefit of being associated with Fairfield University. However, "incidental personal use" must still adhere to all university policies, and must never have an adverse impact on the use of technology and information resources in support of the University's mission. Examples of "adverse impact" are described in the section entitled "Responsibilities" in the Acceptable Use Policy. The respective chief administrator of the Academic Division, Student Services, and Human Resources share the responsibility to interpret the Acceptable Use Policy along with existing university policies

relating to personal use of computers and to establish procedures to assist them in the investigation and enforcement of these procedures. For example, in accordance with existing university procedures an employee's supervisor may also decide that personal activities are affecting the abilities of the employee or colleagues to perform job functions and it is their right to ask the employee to cease those activities. Ultimately, the Office of Human Resources will arbitrate disagreements concerning the interpretation of the Acceptable Use Policy relating to non-faculty staff.

## **Privacy**

This policy defines "private" either as physically or technically not accessible to the general public or accessible only through non-obvious password protection or other security schemes designed to limit access to known or identified individuals. Network system logs which may record an individual's network activity shall be considered private.

## **Routine Operations**

During routine administration SNAs may need to archive or delete privacy user files or messages from the system; for example, this usually is due to physical data storage limits or an individual's departure from the University. In this situation, it is not necessary for an SNA to read or view user files; all work is done using system utilities, machine to machine. Given that these situations are foreseeable, each organization responsible for a computer or network system on which these actions will take place must define how and when they will occur. Reasonable efforts must then be made to ensure that system users understand the policy.

## **Violations, Investigations and Due Process**

Non-routine situations may occur where it is necessary to examine a user's private files without being able to obtain his/her specific permission or authorization. Such situations may include the investigation of violations of this policy or other University policies. The intent of these procedures is to separate the authority to read private user files or messages from the technical ability to do so. This separation attempts to protect both the user and the SNA.

## **Scope**

- The procedures outlined in this section shall apply to the investigation of University policy violations, including violations of the Acceptable Use Policy, which involve University computing resources or which require access to the private computer activities or files of students or faculty.
- Reporting of complaints  
Any member of the University community may bring a complaint of unacceptable use of computing resources. It is also conceivable that individuals or agencies outside the University may bring such complaints. Complaints shall be brought to the Director of Computing & Network Services or his/her designee who will be responsible for

coordinating the presentation of complaints to the "appropriate chief administrator" as follows:

- A. The Director of Computing & Network Services is charged with making judgments of whether a given activity, use, or publication involving Fairfield University computing resources (including but not limited to the use of the campus network and internet gateway, use of servers-e-mail, web, file, mainframes, etc.-desktop computers, public terminals, etc.) requires further investigation and/or referral to the appropriate chief administrator.
- B. For alleged violations of the AUP by faculty members or by students engaged in academic work, complaints that merit investigation will be referred to the Academic Vice President. Before any action is taken the Academic Vice President will refer the matter to an Acceptable Use Policy Committee (AUPC) composed of two tenured faculty appointed by the Educational Technologies Committee and one tenured faculty appointed by the Academic Vice President to investigate and make a recommendation.
- C. Students whose conduct is alleged to violate the AUP may appeal to the Academic Vice President on the grounds that their activity is course related and within the scope of academic freedom. The Academic Vice President will refer the matter to AUPC. Student activities that are related to course work and found in violation of the AUP may be sanctioned by the Academic Vice President and the matter referred back to the Vice President of Student Affairs.
- D. For Non-Academic Violations the Director of Computing & Network Services may make recommendations regarding suspension of computer privileges or other punitive or remedial action to the respective chief administrator.
- For the disposition of computing privileges, the due process procedures outlined in this document shall be sufficient, on the authority of the appropriate chief administrator, to revoke or limit computing privileges of an individual found in violation of acceptable use. However, this policy does not limit any further disciplinary action the appropriate chief administrator may seek to bring according to established disciplinary procedures for faculty, staff and students.

### **Authorization for Investigative Action**

This policy makes a distinction between electronic files and activities that take place on common University computing equipment (file and e-mail servers, the network and internet gateway) and files and activities that take place on a personal computer belonging to or assigned to an individual. Private electronic files that reside on, or activities that take place on, common University computing equipment (file servers, etc.) and private computing activities that take place over the University network and internet gateway are covered by this policy and may be searched according to the procedures set out in Sections 3a and 3b below. Electronic files residing on personal computers belonging or assigned to individuals may only be searched according to the procedures set forth in Section 3b below. Electronic files that have been made publicly available (that is, not protected through the use of non-obvious passwords or other security measures), either on common University file server equipment or through the use of "sharing" or other forms of file server programs on equipment owned by or assigned to a user are not considered private according to this policy. Computing equipment that resides off

campus is not covered under this policy, though all activity of such equipment by authorized Fairfield users that takes place through the University network and computing systems is covered by this policy.

- a. Searching private computer files or monitoring electronic activities that do not violate the Acceptable Use Policy. Situations may arise in which the conduct of a computer user is under investigation for violations of other University policies. In such cases, authorization to access private electronic files or monitor electronic activity must be made in writing by the appropriate chief administrator to the Director of Computing & Network Services, who in turn must authorize the System or Network Administrator (SNA) in writing to perform the requested search. Any attempt to access private electronic files or other private electronic activities must conform to all applicable operating procedures of the University.
- b. Searching faculty offices and student dorm room. Different policies govern the privacy of student dorm rooms and faculty office space:
- i) Student Dorm Rooms and Personal Computers Owned by Students. Under the authority of the Room Entry and Room Search sections of the Student Handbook, the Vice President of Student Affairs may authorize that a search be conducted on a personal computer. Entry to the student room shall be conducted in accordance with the Room Entry and Room Search clauses in the Student Handbook. The SNA may be authorized to assist the staff of student services by accompanying them and conducting the search of student computer in accordance with Section 4a of this policy.
- ii) Faculty Desktop Computers. This policy recognizes that files stored on a desktop computer are part of the faculty office, unless made publicly available (i.e., not password protected) through networking programs such as file sharing, web, or other such server software. Entry to a faculty desktop computer shall occur only when authorized by the Senior Vice President for Academic Affairs, in accordance with existing policies.

All users of computing resources at the University should be aware that this policy does not limit any applicable State and Federal search and seizure procedures.

**Emergency Situations.** Situations will occur that pose immediate threats to the operations or security of computer or network systems. Because of the immediacy, the SNA will need to intervene without obtaining the written permission usually required before taking actions that may affect user files, messages or system access privileges. The intent of these procedures is to allow SNAs to take appropriate, timely action when protecting University computer systems while ensuring that the user and appropriate University officials will be made aware of the situation as soon as possible.

- a. If an SNA determines that user files or messages pose a significant threat to the operation or security of a University computer or network system, he or she will take appropriate action to correct the problem only upon the authorization of the Vice President for Information Services. If the Director of Computing & Network Services is not available, the SNA may take such action as is necessary to resolve the emergency.

Such action may include, but is not limited to disabling user privileges, deleting or disabling a user file, or disconnecting a network connection. SNAs are not authorized to enter a private office or dorm room on an emergency basis, but may temporarily disable network connections until proper authorization is obtained to inspect computing equipment in these areas. The SNA will not perform any action on user files or messages that are not relevant to the current problem and will not take any technical action, at this point, that would permanently deprive the user of access to the computer or network system.

- b. As soon as possible after action is taken, but no later than the next business day, the SNA will make a written report to the Director of Computing & Network Services and the appropriate chief administrator outlining the nature of the threat; protective actions taken; the user(s) involved; and the user file or messages that were affected.

**Sanctions.** For nonacademic violations the appropriate chief administrator will review the recommendations of the Director of Computing & Network Services and make the final decision concerning any penalty or sanctions to be imposed on the offending party. Under this policy, those sanctions or penalties may consist of limitation or suspension of any or all computing privileges. Imposition of such penalties does not preclude further disciplinary action according to established policies for faculty, students and staff.

### **Guidelines for Systems and Network Administrators**

Computer systems and network administrators (SNAs), by the nature of their work, have privileges and responsibilities that other users of technology generally do not have. Without system privileges, SNAs would not be able to do their jobs. The use of these privileges must be wise and thoughtful. These guidelines were developed to articulate responsibilities SNAs have in addition to those outlined in Fairfield University's Acceptable Use Policy.

1. SNAs are bound by the Acceptable Use Policy and the procedures set forth in Sections I and II of this policy. Further, SNAs have a responsibility to educate users about all applicable computing policies.
2. All SNAs have an additional responsibility to assure the operation, security and integrity of Fairfield University's computers, networks, and data.
3. Consistent with the other obligations imposed on them under the Acceptable Use Policy, other applicable University policies, and the law, SNAs will treat as confidential any private and/or confidential information obtained during system administration.
4. SNAs must not disclose privileged and confidential information about Fairfield University's systems or any other information that could prove detrimental to operations or compromise system security.
5. It is against University policy for an SNA to read a user's files. However, SNAs in the course of routine system administration may need to delete or archive user files or messages. In order to do this, SNAs must first promulgate a clear policy to the users describing how and when delete or archive actions will be taken. These policies may vary by department. This section does not, however, grant SNAs authority to read user files or messages during routine system administration. Procedures for obtaining

- authorization to read user files or messages in routine, non-emergency and emergency situations are provided in Section II of this policy.
6. When reacting to or preventing actions by users that may violate the Acceptable Use Policy or other actions by users that may have significantly detrimental effects on system or network operation, SNAs may need to read, modify or delete user files or messages. These actions will take place in accordance with the procedures outlined in this policy and the SNA will document any access to user files or messages.
  7. SNAs will take all practical measures to ensure that all hardware and software license agreements are faithfully executed on all systems, network, servers, and computers for which he or she has responsibility.

Violations of these Guidelines for SNAs will be handled following the administrative and disciplinary processes outlined in the applicable operating policies and procedures of the University.

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AC 04/30/2012

**Appendix 26:**  
**University Council Constitution**

**UNIVERSITY COUNCIL CONSTITUTION**

**Article One: Name**

This tri-partite body shall be known as the "University Council."

**Article Two: Contracting Members**

The contracting members shall consist of the three main bodies of Fairfield University: the Administration of Fairfield University, the Faculty of Fairfield University, and the Students of Fairfield University.

**Article Three: Memberships**

Each contracting member shall have four voting representatives on the Council. The Council shall meet at least three times per semester, time and place to be determined by a majority of the representatives. Any individual Council member may call for a meeting of the Council.

**Article Four:**

The three standing subcommittees of the University Council shall be: Community Life (2 students/1 faculty/1 administrator), Academics (1 student/2 faculty/1 administrator), and Operations (1 student/ 1 faculty/2 administrators).

**Article Five: Voting**

Adoption of a motion must be by an affirmative majority, a quorum of seven representatives being necessary to conduct business with at least three representatives from one contracting member and two representatives from each contracting member. Recommendations of the Council, which are not binding, are sent to the appropriate Vice President of the University for review and consideration, with additional copies sent to the President, the Provost, the other Vice Presidents, the FUSA President, the Student Senate President, and the Secretary of the General Faculty. Each representative shall have one vote. The Recording Secretary will call the first meeting. The Chairperson of the Council rotates among the contracting members. The Council will use *Robert's Rules of Order*

**Article Six: Scope and Reference**

The successful attainment of its educational goals by an institution of higher education requires the best possible use of the varied capacities of all individuals who constitute the University. Each contracting member is urged to bring before the University Council issues under the purview of the Council that will impact on the University as a whole. It is suggested that the appropriate items whenever possible be brought before the Council before decisions are finalized.

The Council's purpose is to represent the Students, Administration, and Faculty, to discuss issues involving the students' relationship to the other segments of the University, and to make recommendations to the contracting member that makes the final decision on that particular issue.

#### **Article Seven: Alterations**

Amendments and other alterations to this constitution shall be proposed within the University Council passed by a majority vote of the total number of representatives, and then referred to the appropriate contracting member for acceptance. No amendment shall become effective unless it has been accepted by all three contracting members, each accepting according to its own procedure.

#### **Article Eight: Effective Date**

This Council shall begin operations upon its acceptance by all three contracting members mentioned herein.

#### **Article Nine: Meeting participants**

Meetings of the University Council are open to members of the University Community. Guests who wish to address an agenda item must be first recognized by the Chair of the Meeting.

AC: 4/23/90  
Approved GF: 4/5/91



**Appendix 27:**  
**Institutional Review Board for Research on Human Subjects**

IRB  
PREFACE

Institutional Review Board  
Fairfield University

On July 12, 1974, the National Research Act (Public Law 93-348) was signed into law. The purpose of the law was to identify the basic ethical principles that should underlie the conduct of biomedical and behavioral research involving human subjects and to develop guidelines which should be followed to assure that such research is conducted in accordance with these principles. To assist the Secretary of Health, Education and Welfare (now Health and Human Services), a National Commission for the Protection of Human Subjects of Biomedical and Behavior Research was established. This commission deliberated over a period of four years on the ethical issues involved. Their findings were published on April 18, 1979 under the title "The Belmont Report". It is this report that serves as the guide to Fairfield University's Institutional Review Board.

The Belmont Report states in part: "... assessment of the justifiability of research should reflect at least the following considerations (i) Brutal or inhumane treatment of human subjects is never morally justified. (ii) Risks should be reduced to those necessary to achieve the research objective. It should be determined whether it is in fact necessary to use human subjects at all. (iii) When research involves significant risk of serious impairment, review committees should be extraordinarily insistent on the justification of the risk. (iv) ...a number of variables go into such judgements, including the nature and degree of risk, the conditions of the particular population involved, and the nature and level of the anticipated benefits. The principle of justice gives rise to moral requirements that there be fair procedures and outcomes in the selection of research subjects. Justice is relevant to the selection of subjects for research at two levels: the social and the individual. Individual justice requires that researchers exhibit fairness: Thus, they should not offer potentially beneficial research only to some patients who are in their favor or select only 'undesirable' persons for risky research. Social justice requires that distinction be drawn between classes of subjects that ought, and ought not, to participate in any particular kind of research. ..."

On May 15, 1989 the Academic Council approved the establishment of an Institutional Review Board (IRB) at Fairfield. In January 1990 the Rev. A.J. Kelley SJ, President of Fairfield University appointed six faculty members and one outsider to constitute the IRB at Fairfield. It is the duty of the IRB to:

1. develop procedures for submitting research protocols for review.

2. determine if subject protocol is in conformity with University policy with regard to use of human subjects in research.

In addition, the IRB has the responsibility and authority to review, approve, disapprove or require changes in all research activities involving human subjects conducted on the campus and/or by University personnel off campus. The IRB shall have authority to suspend or terminate approval of research that is not being conducted in accordance with the IRB's decisions, conditions and requirements or that has been associated with unexpected serious harm to subjects.

Certain types of research activities are exempt under the law. Research activities in which the only involvement of human subjects entails little or no risk are exempt. The exempt activities fall into the following categories.

1. Research conducted in established or commonly accepted educational settings, involving normal educational practices.
2. Research involving the use of educational test where subjects cannot be identified, directly or through identifiers linked to the subjects.
3. Research involving survey or interview procedures except under conditions where the subject can be identified or the topic deals with illegal activities or sensitive behavioral conduct.
4. Research involving the observation of public behavior except under conditions listed in item 3 above.
5. Research involving the collection or study of existing data, documents, records, etc. if these sources are publicly available. Research proposals and surveys are to be reviewed by the Chair of the Institutional Review Board to verify that they qualify as exempt under the criteria stated above.

The basic requirement in all research dealing with human subjects is the requirement that the investigator obtain written informed consent from the subject or the subjects legal representative. The procedure and limitations in obtaining this consent are outlined in this document.

FAIRFIELD UNIVERSITY  
Fairfield, CT

POLICY STATEMENT

with regard to

USE OF HUMAN SUBJECTS IN RESEARCH

Fairfield University is guided by the ethical principles regarding all research involving humans as subjects as set forth in the report of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research entitled Ethical Principles and Guidelines for the Protection of Human Subjects of Research (the "Belmont Report"). In addition, the requirements set forth in Title 45, Part 46 of the Code of Federal Regulations (45 CFR 46) will be met for all applicable Department of Health and Human Services (HHS)-funded research and, except for the requirements for reporting information to HHS, all other research without regard to source of funding. The Institutional Review Board (IRB) has the responsibility and authority to review, approve, disapprove or require changes in appropriate research activities involving human subjects.

The IRB shall have authority to suspend or terminate approval of research that is not being conducted in accordance with the IRB's decisions, conditions and requirements or that has been associated with unexpected serious harm to subjects.

It is our policy that, all research will be reviewed and approved by an institutional review board which has been established under an assurance of compliance negotiated with HHS except for those categories specifically exempted by 45 CFR 46. The involvement of human subjects in research covered by this policy will not be permitted until the IRB has reviewed and approved the research protocol and informed consent has been obtained. Furthermore, the IRB's review of research on a continuing basis will be conducted at appropriate intervals but not less than once a year.

Any research request originating outside of the University will need to show that it was approved by the Rights of Human Subjects Committee of the organization where the research request originated. If the originating organization has no such committee, the research request must be approved by Fairfield's IRB. It is also our policy that unless informed consent has been specifically waived by the IRB no research investigator or principal investigator shall involve any human being as a subject in research unless the research investigator or principal has obtained the legally effective informed consent of the subject or the subject's legally authorized representative. Fairfield encourages and promotes constructive communication among the research administrators, research investigators, principal investigators, clinical care staff, persons responsible for curriculum areas, other institutional officials and human subjects as a

means of maintaining a high level of awareness regarding the safeguarding of the rights and welfare of the subjects.

FAIRFIELD UNIVERSITY  
Fairfield, CT

INSTITUTIONAL REVIEW BOARD

MEMBERSHIP:

In accordance with the compositional requirements of section 46.107 of 45 CFR 46 the membership is composed of at least five members, with varying backgrounds to promote complete and adequate review of research activities commonly conducted at Fairfield. The Board shall include at least one member who is not otherwise affiliated with Fairfield and is not part of the immediate family of a person who is affiliated with Fairfield. Members will be drawn from diverse backgrounds including consideration of their racial and cultural backgrounds and sensitivity to such issues as community attitudes, to promote respect for its advice and counsel in safeguarding the rights and welfare of human subjects.

When research is reviewed involving a category of vulnerable subjects (e.g., prisoners, children, individuals institutionalized as mentally disabled), each IRB shall include in its reviewing body one or more individuals who have as a primary concern the welfare of these subjects.

The membership shall be appointed by the President, and they shall serve indefinitely at the will of the President.

GENERAL PURPOSE:

To establish and publish, with the consent of the Academic Council, University policy with regard to research using human subjects.

To review protocols for all research proposals where human subjects are used that are conducted by University personnel or students.

The Institutional Review Board's responsibility in reviewing new proposals is limited to determining whether or not the proposed research conforms to University policy, and, if it does not, to explaining why it does not. The Institutional Review Board shall make no other judgement on the proposed research.

The IRB shall have authority to suspend or terminate approval of research that is not being conducted in accordance with the IRB's decisions, conditions and requirements or that has been associated with unexpected serious harm to subjects.

SPECIFIC DUTIES:

1. To develop procedures for submitting research protocols for review.
2. To determine if subject protocol is in conformity with University policy with regard to use of human subjects in research.
3. To review approved research projects on a continuing basis, at a minimum of once a year.
4. To report to the President of the University and the Academic Council any serious or continuing noncompliance by University investigators with the conditions outlined in the project as approved.
5. To report to the Secretary of Health and Human Services any serious or continuing noncompliance by University investigators who are funded by the Dept. of Health and Human Services.

## FAIRFIELD UNIVERSITY

### Assurance of Compliance with HHS Regulations for Protection of Human Research Subjects

#### PART 1

Fairfield University, hereinafter known as the "institution," hereby gives assurance that it will comply with the Department of Health and Human Services (HHS) regulations for the Protection of Human Research Subjects (45 CFR 46, as amended on January 26, 1981) as specified below.

#### I. Statement of Principles and Policies

##### A. Ethical Principles

1. This institution is guided by the ethical principles regarding all research involving humans as subjects as set forth in the report of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research entitled Ethical Principles and Guidelines for the Protection of Human Subjects of Research (the "Belmont Report,"). In addition, the requirements set forth in Title 45, Part 46 of the Code of Federal Regulations (45 CFR 46) will be met for all applicable HHS-funded research.

##### B. Institutional Policy

1. Except for research in which the only involvement of human subjects is in one or more of the categories exempted or waived under 45 CFR 46.101 (b) (1-5) or 46.101 (e) of the HHS regulations, this policy is applicable to all research involving human subjects, and all other activities which even in part involve such research, if either:

- a. the research is sponsored by this institution, or
- b. the research is conducted by or under the direction of any employee or agent of this institution in connection with his or her institutional responsibilities, or
- c. the research is conducted by or under the direction of any employee or agent of this institution using any property or facility of this institution, or
- d. the research involves the use of this institution's nonpublic information to identify or contract human research subjects or prospective subjects.

2. This institution acknowledges and accepts its responsibilities for protecting the rights and welfare of human subjects of research covered by this policy.

3. This institution assures that before human subjects are involved in research covered by this policy, proper consideration will be given to:

- a. the risks to the subjects,
  - b. the anticipated benefits to the subjects and others,
  - c. the importance of the knowledge that may reasonably be expected to result, and
  - d. the informed consent process to be employed.
4. This institution acknowledges that it bears full responsibility for the performance of all research involving human subjects, covered by this policy.
5. This institution bears full responsibility for complying with federal, state or local laws as they may relate to research covered by this policy.
6. This institution encourages and promotes constructive communication among the research administrators, principal investigators, person responsible for curriculum area, research investigators, clinical care staff, human subjects, and institutional officials as a means of maintaining a high level of awareness regarding the safeguarding of the rights and welfare of the subjects.
7. This institution will exercise appropriate administrative overview carried out at least annually to insure that its practices and procedures designed for the protection of the rights and welfare of human subjects are being effectively applied.
8. This institution will consider additional safeguards in research when that research involves prisoners, fetuses, pregnant women, children, individuals institutionalized as mentally disabled, other potentially vulnerable groups and human in vitro fertilization.
9. This institution shall provide each individual at the institution conducting or reviewing human subject research (e.g. research investigators, department heads, research administrators, research reviewers) with a copy of this statement of ethical principles and policy (Part 1, I.A. & B.).

FAIRFIELD UNIVERSITY  
Fairfield, CT

INSTITUTIONAL REVIEW BOARD

REVIEW PROCEDURES

A. Meetings.

1. Meetings of the IRB shall be convened:

- a. At the call of the chairperson when the chairperson judges the meeting to be necessary or advantageous.
- b. At the call of the chairperson upon the receipt of a joint written request of three or more members.

2. Quorum:

- a. A majority of the membership, including at least one member whose primary concerns are in nonscientific areas, shall constitute a quorum and is required in order to convene a meeting for the review of research protocols.

3. Procedure:

- a. Except as may be otherwise provided, all convened IRB meetings shall be conducted under and pursuant of Robert's Rules of Order.
- b. No IRB may have a member participating in the IRB's initial or continuing review of any project in which the member has a conflicting interest, except to provide information requested by the IRB.
- c. Minutes of IRB meetings which shall be in sufficient detail to show the names of attendees at the meetings; actions taken by the IRB; the vote on these actions including the number of members voting for, against, and abstaining; the basis for requiring changes in or disapproving research; a written resolution; and dissenting reports and opinions. If a member in attendance has a conflicting interest regarding any project, minutes shall show that this member did not participate in the review, except to provide information requested by the IRB.
- d. For a research protocol to be approved it must receive the approval of a majority of those members present at the convened meeting.



e. At a convened IRB meeting, any member may request that an activity which has been approved under the expedited procedure be reviewed by the IRB in accordance with non-expedited procedures. A vote of the members shall be taken concerning the request and the majority shall decide the issue.

f. In cases where research activities were initially approved under expedited procedures and subsequently reviewed by non-expedited procedures, the decisions reached at the convened meeting shall supercede any decisions made through the expedited review.

B. IRB records.

1. The IRB shall prepare and maintain adequate documentation of IRB activities, including the following:

a. Minutes of meetings.

b. Records of continuing review activities.

c. Copies of all research proposals reviewed, scientific evaluations, if any, that accompany the proposals.

d. Approved sample consent documents.

e. Progress reports submitted by research investigators.

f. reports of injuries to subjects.

g. Copies of all correspondence between the IRB and the research investigators.

h. A list of IRB members as required by 45 CFR 46.103(b)(3).

i. Written procedures for the IRB as required by 45 CFR 46.103(b)(4).

j. Statements of significant new findings provided to subjects, as required by 45 CFR 46.116(b)(5).

C. IRB authority and responsibilities

1. IRB review and approval of research.

a. The IRB shall have the responsibility to review and the authority to approve, require modification in or disapprove all activities or proposed changes in previously approved activities.

b. The IRB shall approve research based on the IRB's determinations that the following requirements are satisfied:

(1) Risks to subjects are minimized:

The term "risk" refers to a possibility that harm may occur. However, when expressions such as "small risk" or "high risk" are used, they usually refer (often ambiguously) both to the chance (probability) of experiencing a harm and the severity (magnitude) of the envisioned harm.

Many kinds of risks need to be taken into account. There are for example, risks of psychological harm, physical harm, legal harm, social harm and economic harm. While the most likely types of harms to research subjects are those of psychological or physical pain or injury, other possible kinds should not be overlooked.

Factors to look for in assessing risk are:

(a) the use of procedures which are consistent with sound research design and which do not unnecessarily expose subjects to risk, and

(b) whenever appropriate by using procedures already being performed on the subjects for diagnostic or treatment purposes.

(2) Risks to subjects are reasonable in relation to anticipated benefits, if any, to subjects, and the importance of knowledge that may reasonably be expected to result. In evaluating risks and benefits, the IRB shall consider only those risks and benefits that may result from the research (as distinguished from risks and benefits of therapies subjects would receive even if not participating in the research). The IRB shall not consider long-range effects of applying knowledge gained in the research as among those research risks that fall within the purview of its responsibility.

(3) Selection of subjects is equitable. In making this assessment the IRB shall take into account the purposes of the research, the setting in which the research will be conducted, and the population from which subjects will be recruited.

(4) Informed consent will be sought from each prospective subject or the subject's legally authorized representative, in accordance with, and to the extent required by 45 CFR 46.116.

(5) Informed consent will be appropriately documented, in accordance with, and to the extent required by 45 CFR 46.117.

(6) Where appropriate, the research plan makes adequate provision for monitoring the data collected to insure the safety of subjects.

(7) Where appropriate, there are adequate provisions to protect the privacy of subjects and to maintain the confidentiality of data.

#### D. IRB Procedures.

##### 1. IRB receives protocol.

a. The IRB chairperson shall receive all nonexempt research protocols from the Director of Research.

##### 2. Determination of review procedure.

a. The IRB chairperson shall determine whether the research protocol meets the criteria necessary for an expedited review process.

b. The IRB chairperson refers all research protocols to either full committee review or expedited review.

##### 3. Expedited review.

a. The eligibility of some research for review through the expedited procedure is in no way intended to negate or modify the policies of this institution or the other requirements of 45 CFR 46.

b. An IRB may use the expedited review procedure to review minor changes in previously approved research during the period for which approval is authorized.

c. The only other research for which an IRB may use an expedited review procedure is that which involves no more than minimal risk to the subjects and in which the only involvement of human subjects will be in one or more of the following categories:

(1) Collection of: hair and nail clippings, in a non-disfiguring manner, deciduous teeth; and permanent teeth if patient care indicates a need for extraction.

(2) Collection of excreta and external secretions including sweat, uncannulated saliva, placenta removed at delivery, and amniotic fluid at the time of rupture of the membrane prior to or during labor.

(3) Recording of data from subjects 18 years of age or older using noninvasive procedures routinely employed in clinical practice. This includes the use of physical sensors that are applied either to the surface of the body or at a distance and do not involve input of matter or significant amounts of energy into the subject or an invasion of the subject's privacy. It also includes such procedures as weighing, testing sensory acuity, electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, diagnostic echography, and electroretinography. It does not include exposure to electromagnetic radiation outside the visible range (for example, x-rays, microwaves).

(4) Collection of blood samples by venipuncture, in amounts not exceeding 450 milliliters in an eight-week period and no more often than two times per week, from subjects 18 years of age or older and who are in good health and not pregnant.

(5) Collection of both supra- and subgingival dental plaque and calculus, provided the procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques.

(6) Voice recordings made for research purposes such as investigations of speech defects.

(7) Moderate exercise by healthy volunteers.

(8) The study of existing data, documents, records, pathological specimens, or diagnostic specimens.

(9) Research on individual or group behavior or characteristics of individuals, such as studies of perception, cognition, game theory, or test development, where the research investigator does not manipulate subjects' behavior and the research will not involve stress to subjects.

(10) Research on drugs or devices for which an investigational new drug exemption or an investigational device exemption is not required.

(11) Any other category specifically added to this list by HHS and published in the Federal Register.

d. Expedited review shall be conducted by the IRB chairperson or by one or more of the experienced IRB members designated by the chairperson to conduct the review.

e. The IRB member(s) conducting the expedited review may exercise all of the authorities of the IRB except that the reviewer(s) may not disapprove the research. The reviewer(s) shall refer any research protocol which the reviewer(s) would have disapproved to the full committee for review. The reviewer(s) may also refer other research protocols to the full committee whenever the reviewer(s) believe(s) that full committee review is warranted.

f. When the expedited review procedure is used, the IRB chairperson or member(s) conducting the review shall inform IRB members of research protocols, which have been approved under the procedure.

4. Full committee review.

a. Research protocols scheduled for review shall be distributed to all members of the IRB prior to the meeting.

b. When it is determined that consultants or experts will be required to advise the IRB in its review of a protocol, the research protocol shall also be distributed to the consultants or experts prior to the meeting.

c. All IRB initial review and continuing review shall be conducted at convened meetings and at timely intervals.

5. Documentation of informed consent.

a. In accord with 45 CFR 46.117, the IRB shall require documentation of informed consent by use of a written consent form, or may waive the requirement for the research investigator to obtain a signed consent form for some or all subjects if the IRB determines that:

(1) The only record linking the subject and the research would be the consent document and the principal risk would be potential harm resulting from a breach of confidentiality. Each subject will be asked whether the subject wants documentation linking the subject with the research and the subject's wishes will govern; or

(2) The research presents no more than minimal risk of harm to subjects and involves no procedures for which written consent is normally required outside of the research context.

b. When the documentation requirement is waived, the IRB may require the research investigator to provide subjects with a written statement regarding the research.

6. Waiver or alteration of informed consent.

a. the IRB may approve a consent procedure which does not include, or which alters, some or all of the elements of informed consent set forth in 45 CFR 46.116(a)&(b), or waive the requirement to obtain informed consent provided the IRB finds and documents that:

(1) The research is to be conducted for the purpose of demonstrating or evaluating:

- (a) federal, state or local benefit or service programs which are not themselves research programs.
  - (b) procedures for obtaining benefits or services under these programs, or
  - (c) possible changes in or alternatives to these programs or procedures; and
- (2) The research could not practicably be carried out without the waiver or alteration.
- b. The IRB may approve a consent procedure which does not include, or which alters, some or all of the elements of informed consent set forth in 45 CFR 46.116(a)&(b), or waive the requirements to obtain informed consent provided the IRB finds and documents that:
  - (1) The research involves no more than minimal risk to the subjects;
  - (2) The waiver or alteration will not adversely affect the rights and welfare of the subjects;
  - (3) The research could not practicably be carried out without the waiver or alterations; and
  - (4) Whenever appropriate the subjects will be provided with additional pertinent information after participation.

7. Observation of the consent process and the research.

- a. The IRB shall have the authority to observe or have a third party observe the consent process and the research, except when such observation may interfere with the research protocol or validity of research findings.

8. Frequency of review.

- a. The IRB shall determine, in its review of research protocols, which projects will require IRB review more often than annually.
- b. The IRB shall review all other research projects at intervals appropriate to the degree of risk but not less than once per year.

9. Verification of change.

- a. The IRB shall determine which projects need verification from sources other than the research investigators and/or principal investigator that no material changes have occurred since previous IRB review.

10. Authority to suspend or terminate approval of research.

- a. The IRB shall have authority to suspend or terminate approval of research that is not being conducted in accordance with the IRB's decisions, conditions and requirements or that has been associated with unexpected serious harm to subjects.

11. Information dissemination and reporting requirements.

- a. The IRB shall have the authority and be responsible for reporting no later than 8 working days information to the Director of Research, the Office for Protection from Research Risks (OPRR), HHS or both on a variety of issues. In conjunction with this requirement the IRB must be prepared to receive and act on information received from a variety of sources, such as human subjects, research investigators, the Director of Research or other institutional staff. For reporting purposes, the IRB will follow the procedures described below:

- (1) Any serious or continuing noncompliance by research investigators with the requirements of the IRB - This information shall be reported no later than 8 working days to the Director of Research. The Director of Research is responsible for the reporting to the OPRR.

- (2) Injuries to human subjects - Information received by the IRB concerning injuries to subjects shall be reported no later than 8 working days to the Director of Research. The Director of Research is responsible for reporting to the OPRR.

- (3) Unanticipated problems - Information received by the IRB concerning injuries to subjects shall be reported no later than 8 working days to the Director of Research. The Director of Research is responsible for reporting to OPRR.

- (4) Suspension or termination of IRB approval - The written notice of the IRB's suspending or terminating approval of a research protocol shall include a statement of the reasons for the IRB's action and shall report the action no later than 8 working days to the research investigator and/or principal investigator, and the Director of Research. The Director of Research is responsible for reporting to OPRR.

12. IRB notification to research investigators and/or principal investigator and the Director of Research of decision(s).

- a. The IRB shall notify the research investigators and/or the principal investigator and the Director of Research in writing of the IRB's decisions, conditions and requirements.
- b. The IRB shall also provide to the research investigator and/or principal investigator reasons for the IRB's decision to disapprove a research protocol and an opportunity for the research investigator and/or principal investigator to respond. Reasons for disapproval shall also be transmitted to the Director of Research by the IRB.
- c. The IRB shall promptly provide to the research investigator and/or principal investigator in writing reasons for the IRB's action in suspending or terminating approval of a research project.
- d. Elements to be included in the standard letter regarding decisions on protocols are:
  - (1) Date of letter.
  - (2) Name of study.
  - (3) Name of principal investigator.
  - (4) Date of IRB meeting at which decision was made including:
    - (a) If acceptance was given, any conditions specified.
    - (b) If rejection, reasons for this rejection.
  - (5) Statement requesting that IRB be informed no later than 8 working days of:
    - (a) Any changes being considered to the approved protocol.
    - (b) Any unanticipated problems with potential/actual harm to subjects.
    - (c) Termination of any projects.
  - (6) Date a progress report is required.
  - (7) Reminder that this approval does not cover other needed approvals.
  - (8) Indication of availability of Board if any questions arise.



PROCEDURES MANUAL  
for  
RESEARCH DEALING WITH HUMAN SUBJECTS

FAIRFIELD UNIVERSITY

Fairfield, CT

1992

## A. University Policy

Fairfield University is guided by the ethical principles regarding all research involving humans as subjects as set forth in the report of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research entitled Ethical Principles and Guidelines for the Protection of Human Subjects of Research (the "Belmont Report").

In addition, the requirements set forth in Title 45, Part 46 of the Code of Federal Regulations (45 CFR 46) will be met for all applicable HHS-funded research and, except for the requirements for reporting information to HHS, all other research without regard to source of funding.

It is our policy that, except for those categories specifically exempted by 45 CFR 46, all research will be reviewed and approved by an institutional review board (IRB) which has been established under an assurance of compliance negotiated with HHS. The involvement of human subjects in research covered by this policy will not be permitted until the IRB has reviewed and approved the research protocol and informed consent has been obtained. Furthermore, the IRB's review of research on a continuing basis will be conducted at appropriate intervals but not less than once a year. Any research request originating outside of the University will need to show that it was approved by the Rights of Human Subjects Committee of the organization where the research request originated. If the originating organization has no such committee, the research request must be approved by Fairfield's IRB.

It is also our policy that unless informed consent has been specifically waived by the IRB no research investigator or principal investigator shall involve any human being as a subject in research unless the research investigator has obtained the legally effective informed consent of the subject or the subject's legally authorized representative.

Fairfield encourages and promotes constructive communication among the research administrators, persons responsible for curriculum areas, research investigators, or principal investigators, clinical care staff, other institutional officials and human subjects as a means of maintaining a high level of awareness regarding the safeguarding of the rights and welfare of the subjects.

The Institutional Review Board has the responsibility and authority to review, approve, disapprove or require changes in appropriate research activities involving human subjects.

The IRB shall have authority to suspend or terminate approval of research that is not being conducted in accordance with the IRB's decisions, conditions and requirements or that has been associated with unexpected serious harm to subjects.

## B. Research covered under these policies.

1. These policies will apply to research conducted by University personnel or students which involves human subjects. For the purposes of these policies, a human subject is defined as a "living individual about whom an investigator conducting research obtains: (1) data through intervention or interaction with the individual, or (2) identifiable private information."

#### C. Responsibilities of Research Investigators.

##### 1. Determination of human subject involvement.

a. Research investigators and/or principal investigator shall make a determination as to whether research will involve human subjects as defined in 45 CFR 46.102.

b. When it is not clear whether the research involves human subjects as defined in 45 CFR 46.102, research investigators and/or principal investigators should seek assistance from the Office of Research and the IRB in making this determination.

##### 2. Preliminary determination of exemption eligibility.

a. Research investigators and/or principal investigators shall make the preliminary determination of whether such research, which involves human subjects, is exempted from coverage under 45 CFR 46.101.

b. Research activities in which the only involvement of human subjects will be in one or more of the following categories are exempt from these regulations unless the research is covered by other subparts of 45 CFR 46.101.

1). Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or comparison among instructional techniques, curricular, or classroom management methods.

2). Research involving the use of educational test (cognitive, diagnostic, aptitude, achievement), if information taken from these sources is recorded in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

3). Research involving survey or interview procedures, except where all of the following conditions exist: (i) responses are recorded in such a manner that the human subjects can be identified, directly or through identifiers linked to the subjects, (ii) the subject's responses, if they became known outside the research, could reasonably place the subject at risk of criminal or civil liability or be damaging to the subject's financial standing or employability, and (iii) the research deals with sensitive aspects of the subject's own behavior such as illegal conduct, drug use, sexual behavior, or use of alcohol. All research involving survey or interview procedures is exempt, without exception, when the respondents are elected or appointed public officials or candidates for public office.

4). Research involving the observation (including observation by participants) of public behavior, except where all of the following conditions exist: (i) observations are recorded in such a manner that the human subjects can be identified, directly or through identifiers linked to the subjects, (ii) the observations recorded about the individual, if they became known outside the research, could reasonably place the subject at risk of criminal or civil liability or be damaging to the subject's financial standing or employability, and (iii) the research deals with sensitive aspects of the subject's own behavior such as illegal conduct, drug use, sexual behavior, or use of alcohol.

5). Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

6). Unless specifically required by statute (and except to the extent specified in paragraph (i)), research and demonstration projects which are conducted by or subject to the approval of the Department of Health and Human Services, and which are designed to study, evaluate, or otherwise examine: (i) programs under the Social Security Act, or other public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels or payment for benefits or services under those programs.

#### D. Preparation of protocol.

1. Research investigators shall prepare a protocol giving a complete description of the proposed research. In the protocol, research investigators shall make provisions for the adequate protection of the rights and welfare of prospective research subjects including but not limited to procedures to be followed for obtaining the informed consent of the research subjects in conformity with University policies instituted to protect the rights of human subjects of research and insure that pertinent laws and regulations are observed. This requirement is applicable even in cases where the research is exempt under 45 CFR 46.101.

2. The research protocol shall include the following:

a. Cover - see appendix A.

b. Purpose - State briefly the purpose of the study; usually this will include the hypothesis, which is to be tested.

c. Background - Describe past studies and any relevant, experimental or clinical findings, which led to the plan for this project. For studies designed to compare or evaluate therapies, there should be a statement of the relative advantage or disadvantage of alternative modes of therapy.

d. Location of study - City, State, and specific location, i.e. name of institution and subunit if applicable.

e. Duration of project - IRB reapproval is required at least every year as long as the study is continued.

f. Research plan - This is an orderly scientific description of the intended procedures as they directly affect the subjects.

g. Statistical considerations - A statement about the statistical power of the study to test the major hypothesis and a summary of the plans for statistical analysis.

h. Economic considerations - Describe any material inducement that will be offered to subjects in return for their participation.

i. Subject population - Describe the requirements for the subject population including the total number of subjects and controls and their ages.

j. Risks - Describe any risks, physical, psychological, social, economic, legal, or other. If other methods of treatment present lesser risks, describe those.

3. Research investigators shall include samples of proposed informed consent forms with the protocol.

4. Research investigators and person responsible for curriculum areas shall be responsible for insuring that all research involving human subjects is submitted to the Office of Research and to the Institutional Review Board.

#### E. Obtaining informed consent.

1. Unless otherwise authorized by the IRB, research investigators and /or principal investigators are responsible for insuring that legally effective informed consent shall:

a. be obtained from the subject or the subject's legally authorized representative;

b. be in language understandable to the subject or the subject's representative;

c. be obtained under circumstances that offer the subject or the subject's representative sufficient opportunity to consider whether the subject should or should not participate;

d. not include exculpatory language through which the subject or the subject's representative is made to waive or appear to waive any of the subject's legal rights, or releases or appears to

release the research investigator, the sponsor, the institution or its agents from liability for negligence;

e. be obtained prior to involving any human subject in research;

## 2. Basic elements of informed consent.

a. Unless otherwise authorized by the IRB, research investigators at a minimum shall provide the following information to each subject:

1). A statement that the study involves research, and explanation of the purposes of the research and the expected duration of the subjects' participation, a description of the procedures to be followed, and identification of any procedures which are experimental;

2). A description of any reasonable foreseeable risks or discomforts to the subject;

3). A description of any benefits to the subject or to others which may reasonably be expected from the research;

4). A disclosure of appropriate alternative procedures or courses of treatment, if any, that might be advantageous to the subject;

5). A statement describing the extent, if any, to which confidentiality of records identifying the subject will be maintained;

6). For research involving more than minimal risk, an explanation as to whether any compensation and an explanation as to whether any medical treatments are available if injury occurs and, if so, what they consist of, or where further information may be obtained;

7). An explanation of whom to contact for answers to pertinent questions about the research subjects' rights, and whom to contact in the event of a research-related injury to the subject; and

8). A statement that participation is voluntary, refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled, and the subject may discontinue participation at any time without penalty or loss of benefits to which the subject is otherwise entitled.

3. Providing additional elements of informed consent.

a. When required by the IRB, the research investigator and/or principal investigator shall provide one or more of the following additional elements of information to each subject:

- 1) A statement that the particular treatment or procedure may involve risks to the subjects (or to the embryo or fetus, if the subject is or may become pregnant) which are currently unforeseeable;
- 2) Anticipated circumstances under which the subject's participation may be terminated by the research investigator without regard to the subject's consent;
- 3) Any additional cost to the subject that may result from participation in the research;
- 4) The consequences of a subject's decision to withdraw from the research and procedures for orderly termination of participation by the subject;
- 5) A statement that significant new developed during the course of the research which may relate to the subject's willingness to continue participation will be provided to the subject; and
- 6) The approximate number of subjects involved in the study.

4. Documentation of informed consent.

a. Research investigators and/or principal investigators shall be responsible for insuring that informed consent is documented by the use of a written consent form approved by the IRB and signed by the subject or the subject's legally authorized representative, unless this requirement is specifically waived by the IRB.

b. Research investigators and/or principal investigator shall insure that each person signing the written consent form is given a copy of that form.

c. The written consent form shall embody the elements of informed consent required by 45 CFR 46.116. This form may be read to the subject or the subject's legally authorized representative, but in any event, the research investigator and/or principal investigator shall give either the subject or the representative adequate opportunity to read the form before signing it.

d. In addition to the subject's signature the consent form shall be signed by the investigator and one other witness to the signing.

5. Observation of the consent process and the research.

a. The IRB shall have the authority to observe or have a third party observe the consent process and the research, except when such observation may interfere with the research protocol or validity of research findings.

6. Retention of signed consent documents.

a. Research investigators are responsible for placing the consent documents signed by human research subjects in a repository approved by the IRB. These documents shall be retained for at least three years after termination of the last IRB approval period.

F. Submission of progress reports on the research.

1. Research investigators and/or principal investigator are responsible for reporting the progress of the research to the Director of Research as often as and in the manner prescribed by the IRB but no less than once per year.

G. Submission of injury reports and reports of unanticipated problems involving risks.

1. Research investigators and/or principal investigator are responsible for reporting later than 8 working days to the Director of Research any injuries to human subjects.

2. Research investigators and/or principal investigator are responsible for reporting no later than 8 working days to the Director of Research any unanticipated problems which involve risks to the human research subjects or others.

H. Reporting changes in the research.

1. Research investigators and/or principal investigator are responsible for reporting no later than 8 working days to the Director of Research proposed changes in a research activity.

2. Changes in research during the period for which IRB approval has already been given, shall not be initiated by research investigators and/or principal investigator without IRB review and approval, except where necessary to eliminate apparent immediate hazards to the subjects.

I. Reporting of noncompliance.

1. Research investigators, principal investigators, persons responsible for curriculum areas and any member of the university community that is aware of noncompliance are responsible for reporting no later than 8 working days after the discovery of noncompliance to the Director of Research and the IRB any serious or continuing noncompliance with the requirements of the IRB.

J. Notifying the Director of Research concerning investigational new drugs.



1. The research investigators shall be responsible for notifying the Food and Drug Administration (FDA) and the Director of Research whenever it is anticipated that an investigational new drug or device exempting will be required.

1992

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Policies and Procedures for Research Involving Human Subjects:

A. The Academic Council has accepted the following policies as a general framework for institutional policies intended to protect the rights of human subjects in research conducted at Fairfield University:

1. These policies will apply to research conducted by University personnel or students which involves human subjects. For the purposes of these policies, a human subject is defined as a "living individual about whom an investigator conducting research obtains: (1) data through intervention or interaction with the individual, or (2) identifiable private information."
2. Investigators are expected to minimize risks to subjects by using procedures which are consistent with sound research design and which do not unnecessarily expose subjects to risk.
3. Fairfield University will establish an Institutional Review Board (IRB) to ensure that rights of human subjects are protected.
4. Regulations from the Department of Health and Human Services currently in place will form the basis for Fairfield's institutional policies.
5. Any research request originating outside of the University will need to show that it was approved by the Rights of Human Subjects Committee of the organization where the research request originated. If the originating organization has no such committee, the research request must be approved by Fairfield's IRB.
6. Research activities which are exempt from coverage by DHHS regulations will also be exempt from coverage by Fairfield University's policies.

B. The Academic Council has endorsed the following structure for a Human-Subjects-Research-Review Procedure:

1. The researcher will prepare a protocol describing (a) the proposed research; (b) the provisions for the protection of the rights and welfare of subjects, including but not limited to procedures to be followed for obtaining the informed consent of the

research subjects, in conformity with University policies instituted to protect the rights of human subjects of research.

2. The researcher will forward the research protocol to the University's Human Subjects Research Officer. (If the researcher is a student, the researcher's faculty mentor will forward the protocol to the Human Subjects Research Officer). The University's Human Subjects Research Officer will play two roles:

- a. the Human Subjects Research Officer will represent the University's interests in this area as they are affected by the proposed research (by insuring e.g. that applications comply with federal guidelines, that the paperwork required of the institution has been done, etc.);
- b. the Human Subjects Research Officer will insure the swift and fair operation of review procedures by communicating with all parties involved, convoking the Institutional Review Board, etc.

The Human Subjects Research Officer will make no judgement on whether or not the protocol conforms with University policy. Such judgement will be solely the responsibility of the Institutional Review Board.

3. The Institutional Review Board will have two roles:

- a. the Institutional Review Board will review the protocol describing the proposed research to be sure that it conforms with University policy;
- b. the Institutional Review Board will review the research carried out to be sure that it has been carried out as it had been described in the protocol and has thus conformed with University policy. Such review will be carried out at the conclusion of research if the research is completed within a period of six months from its initial approval by the Institutional Review Board, or every six months and at the conclusion of the research if the research is carried out over a period of more than six months, and in either case more frequently if the Institutional Review Board so determines.

The Institutional Review Board's responsibility is limited to determining whether or not the proposed research conforms to University policy, and, if it does not, to explaining why it does not. The Institutional Review Board shall make no other judgement on the proposed research.

4. The University's Human Subjects Research Officer and the members of the Institutional Review Board will be appointed by the President, in conformity with

Department of Health and Human Services regulations, and they shall serve indefinitely at the will of the President.

5. No research involving human subjects may proceed unless the Institutional Review Board has determined that its procedures, as described in the protocol, conform to University policy. If the Institutional Review Board determines that the proposed procedures are not in conformity with University policy, it will indicate to the University's Human Subjects Research Officer the reasons for this determination. The Human Subjects Research Officer will then communicate this information to the researcher who will be encouraged to resubmit an amended protocol for review.

6. The Institutional Review Board will require that a research project be halted at any point when it determines that the research is not being carried out according to the procedures described in a previously approved protocol, or that the procedures described in the protocol are not in conformity with University policy.

7. After a research project has been completed, if in reviewing the project the Institutional Review Board determines that the research was not carried out in conformity with the previously approved protocol, it will make a record of this determination for its files. This determination will then be taken into account whenever the researcher submits a protocol for new or continuing research in the future.

8. The decision of the Institutional Review Board in all cases will be final and not subject to appeal. The Board will, however, always provide the Director of Research with reasons for its actions, and these reasons will be communicated to the researcher as described in section 5 above.

9. The Institutional Review Board will be responsible for elaborating and modifying University policy in this area. All statements of policy must be approved by the Director of Research and by the Academic Council before they become effective.

10. The Institutional Review Board will be responsible for developing and modifying detailed procedures for reviewing research to ensure its conformity to University policy in this area. All new procedures and all modifications of earlier procedures must be approved by the Director of Research and by the Academic Council before they become effective.

AC: 5/15/89

