

Faculty Handbook

California Northstate University



CALIFORNIA
NORTHSTATE
UNIVERSITY

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1. INTRODUCTION TO FACULTY HANDBOOK

1.1 Mission, Vision, Values

- A. **Mission:** *To advance the art and science of healthcare.*
- B. **Vision:** *To provide innovative education and healthcare delivery systems.*
- C. **Core Values (WECARE)**

Working as a team

Embracing diversity and workplace excellence

Caring about our students, our staff, our faculty and our profession

Advancing our university, our goals, and our discipline

Responding to challenges that may impede our Mission

Enhancing communication and partnership

1.2 Core Principles

Education is our business.

Education is about teaching and learning.

Education is effective when students can solve problems, pass the board exam, and have gainful careers.

Educational affordability is about the least time and cost to obtain the degree.

Education is delivered by faculty who are committed to high-yield teaching, low-stress/stress-free learning, and outcome-based SLOs (CLOs, PLOs, ILOs, and CoCLOs) assessment.

Education is delivered with a relevant curriculum characterized by integration of basic and clinical sciences, supported by technology, and taught by responsible and qualified faculty and staff who are loyal to the CNU's values, interests, and priorities.

Education should encompass not only cognitive and intellectual growth, but also social and emotional growth, moral development and character building.

Educational quality is maintained through governance oversight, program review, judicious use of resources, accountability, and administrative leadership.

1.3 Faculty Handbook and Integration with Other University Handbooks and Policies

Your California Northstate University Faculty Handbook ("Handbook") summarizes policies and practices in effect for University faculty at the time of publication. This Handbook supersedes all previously issued faculty handbooks. Various University policies and procedures are appended to this Handbook and should be treated as fully incorporated into this Handbook.

Each College within California Northstate University ("University") may also have its own College Appendix to summarize faculty policies and practices with specific application to the unique circumstances of that particular College. The College Appendices are intended to augment and

supplement rather than supersede the provisions of this Handbook. Where an apparent conflict exists, this Handbook shall supersede the Appendices of the Colleges.

The University Employee Handbook explains the terms and conditions of employment of all University employees, including faculty. Some employment conditions specific to faculty described in the University Faculty Handbook may be different than as described in the Employee Handbook. Since this Faculty Handbook is specific to faculty, its provisions supersede those of the Employee Handbook in apparent conflict; otherwise the Employee Handbook governs all other terms of employment.

Written employment contracts between some faculty members and the University may supersede some of the provisions of this Faculty Handbook. Where there is conflict between the faculty member's employee contract and this Faculty Handbook, the terms of the employee contract, properly entered into in accordance with University policy, shall prevail. Nothing in this Faculty Handbook shall supersede or otherwise limit At-Will Employment Status sections and other at-will provisions of the Employee Handbook.

1.4 Academic Freedom

California Northstate University assures academic freedom to all members of the faculty. The Statement of Principles on Academic Freedom and Tenure formulated in 1940 by the Association of American Colleges and the American Association of University Professors states, in part:

"Institutions of higher education are conducted for the common good...." [The Common good of the institution is grounded upon the primacy of student success, upon which the mission, vision, and values of the institution are based.]

"Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.

"(a) Teachers are entitled to full freedom in research and the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

"(b) Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

"(c) College and university teachers are citizens, members of a learned profession, and [faculty members] of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline [when acting lawfully and in accordance with accepted professional standards,] but their special position in the community imposes special obligations. As scholars and [members of their learned professions], they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate

restraint, should show respect for the opinions of others, [should be sensitive to their audience and timing,] and should make every effort to indicate that they are not speaking for the institution."

California Northstate University is firmly committed to the tradition of academic freedom in American colleges and universities and seeks to maintain conditions which are conducive to open inquiry and free search for truth. In teaching, research, and scholarly activity, faculty have not only the right but the obligation to share their thought processes and resulting opinions and conclusions in analysis of educational material without fear that in doing so they are placing their job in jeopardy and without fear of retribution. Faculty shall at all times make it clear when they are expressing such an opinion or conclusion and that they are not representing the views of the institution. It is the right of students to express their opinions without concern for their grades and to express their opinions without fear of retribution. With academic freedom comes a responsibility to respect others' opinions. Academic honesty is demanded of faculty and students alike.

(Reference: CNU Administrative Policy 2101)

2. Appointment, Rank, and Promotion

2.1 Introduction

Promotion of faculty at California Northstate University is based largely on the achievements of the candidate while an employee of the University and not on those achievements attained while employed by previous private or public institutions or other organizations. Criteria for evaluation for promotion for all faculty are as follows: the period of employment by California Northstate University; an understanding and acceptance of and commitment to the purpose and objectives of the College; *quality* of performance; *quality* and *quantity* of assignments; evidence of cooperation, positive outlook, and maturity; proficiency as an educator; a record of scholarly accomplishments; evidence of ongoing professional development; availability to individual students for advisement and willingness to share in their concerns; involvement and participation in campus, professional, and community activities; and demonstrated competency in the professional discipline of the faculty member. In addition, a faculty member worthy of promotion demonstrates intellectual competence, integrity, independence, enthusiasm, and a spirit of scholarly inquiry. The Rank and Promotion Committee recognizes that faculty in the clinical areas have additional responsibilities in terms of service to a clinical practice site(s).

The Rank and Promotion Committee of each College will examine the dossier/portfolio of the candidate for examples of accomplishments in the areas of teaching, scholarly activity, and professional service. Assessment of *quality* of the material and examples of the accomplishments provided by the candidate in their dossier/portfolio will be at the discretion of the Rank and Promotion Committee. However, the Rank and Promotion Committee will use the criteria for promotion given in Appendix A as a *guide* in assessing the accomplishments of candidates applying for consideration for promotion. These criteria should be used by faculty and Chairs when evaluating the preparedness of a faculty member for consideration for promotion.

2.2 Instructor

1. Definition: faculty who possess the Doctoral degree in his/her field but has limited

postgraduate experience. The requirement for possession of a Doctoral degree may be waived for a faculty member with documented professional accomplishments in the three academic areas of teaching, scholarship/research activities, and professional service.

2. Time in previous rank: no minimum.
3. Since this is an entry level rank there can be no promotion to this rank.

2.3 Assistant Professor

1. Definition: faculty who possess the Doctoral degree in his/her discipline and shows promise in the three academic areas of teaching, scholarship/research activities, and professional service. The requirement for possession of a Doctoral degree may be waived for a faculty member with documented professional accomplishments in the three academic areas.
2. Time in previous rank (this would apply only to faculty previously appointed at the level of Instructor): promotion of an Instructor who has a Doctoral degree: a minimum of one (1) year.
3. Academic areas considered for promotion to this rank: demonstrates promise in the areas of teaching, scholarship/research activities, and professional service.

2.4 Associate Professor

1. Definition: faculty who possess a Doctoral degree in his/her discipline, meets the criteria for rank of Assistant Professor, and demonstrates a sustained and significant record of accomplishments in teaching, scholarship/research activities, and professional service.
2. Time in previous rank: a minimum of five (5) years must be spent at the rank of Assistant Professor at CNU before consideration can be given to promotion to the rank of Associate Professor; however, the candidate may have the opportunity to apply early for consideration for promotion based on previous time and service credit recommended by the Rank and Promotion Committee, endorsed by the Dean, and awarded by the President under the authority granted by the Board of Trustees.
3. Academic areas considered for promotion to this rank: *excels* in two of the three areas of teaching, scholarship/research activities, and professional service, while *demonstrating satisfactory* activity in the third area.

2.5 Professor

1. Definition: faculty who possess a Doctoral degree in his/her discipline, meets the criteria for rank of Associate Professor and demonstrates continued sustained and significant record of accomplishments in teaching, scholarship/research, and professional service. The rank of Professor is among the highest honors that the college can bestow upon a faculty member. Therefore, this rank is granted only to faculty members who have distinguished themselves in their discipline at national and/or international levels. The faculty member must demonstrate a sustained record of outstanding achievements in teaching, scholarship/research activities, and professional service. The faculty member must *excel* in two of the three academic areas, and demonstrate *significant activity* and *accomplishment* in the third area. Although other factors will be considered, consultantships, publications in peer-reviewed journals, invited "editorialships" and lectureships, and the holding of a professional societal office will be important factors considered in assessing a faculty candidate's accomplishments.
2. Time in previous rank: a minimum of five (5) years must be spent at the rank of Associate Professor at CNU before consideration can be given to promotion to the rank of

Professor; however, the candidate may have the opportunity to apply early for consideration for promotion based on previous time and service credit recommended by the Rank and Promotion Committee, endorsed by the Dean, and awarded by the President under the authority granted by the Board of Trustees.

3. Academic areas considered for promotion to this rank: sustained record of *outstanding achievements* in two of the academic areas of teaching, scholarship/research activities, and professional service, while *maintaining excellence* in the third area.

2.6 Criteria for Positive Recommendation for Promotion of a Faculty Member at the Rank of Instructor to the Rank of Assistant Professor

The advancement of a candidate from the rank of Instructor to Assistant Professor will be based on the potential the candidate has shown to be a productive and contributing member of the faculty. The candidate will need to demonstrate his or her potential in the dossier/portfolio provided to the chair of their department prior to submission of the request for promotion to the Rank and Promotion Committee. If the Department Chair agrees that the candidate is ready for promotion to the rank of Assistant Professor, the Chair will forward the petition for promotion, the dossier/portfolio, and a letter supporting the candidate's application for promotion to the Associate Dean for Faculty Affairs and Experiential Education. The Associate Dean for Faculty Affairs will forward the petition for promotion to the chair of the Rank and Promotion Committee along with a letter indicating approval or disapproval of the promotion. A candidate at the rank of Instructor is eligible to apply for promotion no earlier than one (1) year following appointment at the rank of Instructor.

2.7 Criteria for Positive Recommendation for Promotion of a Faculty Member to the Rank of Associate Professor

A faculty member at the rank of Assistant Professor will be eligible to apply for promotion to the rank of Associate Professor no earlier than five (5) years following the time of appointment to the rank of Assistant Professor at CNU, or no earlier than indicated in the letter of appointment. A candidate applying for promotion from the rank of Assistant Professor to the rank of Associate Professor must *excel* in two of the three areas of: 1) teaching, 2) scholarship/research, and 3) professional service, while demonstrating *satisfactory activity* in the third area.

2.8 Criteria for Positive Recommendation for Promotion of a Faculty Member to the Rank of Professor

A faculty member at the rank of Associate Professor will be eligible to apply for promotion to the rank of Professor no earlier than five (5) years following the time of appointment or promotion to the rank of Associate Professor at CNU, or no earlier than indicated in the initial letter of appointment at the rank of Associate Professor. A candidate applying for promotion from the rank of Associate Professor to Professor must demonstrate a sustained record of *outstanding achievements* in two of the three areas of: 1) teaching, 2) scholarship/research, and 3) professional service, while demonstrating *sustained excellence* in the third area.

A. Teaching

A productive faculty member should possess the following attributes: an ability to express himself/herself clearly and concisely; an ability to make each learning activity an exciting experience; an ability to inspire interest and to secure from students a high degree of individual effort; an appreciation and a respect for students; an appreciation of student viewpoints; and a sympathetic understanding of student problems. It is expected that the teaching record of the candidate will reflect a continuous increase in knowledge of the subject taught, an ability to effectively transmit knowledge to students, and an ability to arouse curiosity and stimulate creative thinking in beginning as well as advanced students. A list of indicators of accomplishments in teaching that the Rank and Promotion Committee will use as a *guide* in determining the level of success of the faculty applicant is shown in Appendix B.

B. Scholarly/Research Activity

A productive faculty member is expected to be engaged in scholarly activities. A key component of the definition of scholarly activity is that it results in publications or other products or services that can be readily evaluated. The nature of the scholarship is not critical and can take several forms including discovery (creation of new knowledge), integration (comprehensive and analytical review of current literature), application (applying new knowledge to improved health), and teaching (development of critically reviewed innovative teaching methods). Publication of the results of these types of scholarly activity demonstrates mastery in the field of inquiry, and documents the process and outcomes of the work so that peers have the opportunity to evaluate these efforts and incorporate the findings into their own activities. As a result, the Rank and Promotion Committee will examine the dossier/portfolio for examples of sustained accomplishment in scholarship. The dossier/portfolio provides faculty members a venue through which they can demonstrate their ability to be a leader in peer-reviewed publications, as well as demonstrating sustained *contributions* to the academic community with work that reflects their roles and responsibilities as faculty. A list of indicators of success in scholarly/research activity that the Rank and Promotion Committee will use as a *guide* in determining the level of success of the faculty applicant is shown in Appendix B. The evaluation by the Rank and Promotion Committee of the scholarly activity demonstrated by the candidate will focus on the *quality* of the work presented in the dossier/portfolio rather than simply on the quantity of work presented.

C. Professional Service

Recognition will be given to faculty who make significant service contributions to the following: 1) student welfare through service to the college and their department; 2) student organizations; 3) scientific organizations; and 4) community, state and national organizations in their special capacities or discipline. For faculty in the Clinical and Administrative Sciences, the Rank and Promotion Committee will give consideration, when appropriate, to clinical service. For faculty in all departments, a strong record of professional service at the national or international level will strengthen the recommendation for promotion, particularly to the rank of Professor. Activity at the levels of Assistant and Associate Professor should represent a distribution of service to the College, Department, and Professional organizations. Faculty are expected to do the following: 1) work energetically as a member of their department; 2)

participate in faculty and campus activities; 3) provide effective academic counseling and guidance to students; and 4) participate in the activities of professional, scientific, or community organizations. Clinical and Administrative Sciences faculty should also demonstrate successful participation in clinical service. A list of indicators of success in professional service that the Rank and Promotion Committee will use as a *guide* in determining the level of success of the faculty applicant is shown in Appendix B.

2.9 Multi-Year Reappointment

Multi-year reappointments may be considered for eligible and qualified faculty. See the multi-year appointment policy (Appendix C).

2.10 Resignation of Appointment by the Faculty Member or Termination of Appointment

Faculty members are expected to give due notice of their intentions if they wish to terminate their appointment with the college. A faculty member may terminate his/her appointment within an appropriate time period, and not during the ongoing academic year, so as not to jeopardize course assignments, student learning, negatively impact their colleagues work or the mission and goals of the College; failure to meet this requirement will be treated as a material breach of the appointment agreement. Faculty initiated termination, should be at the end of an academic year and within 1 month after receipt of notification of the terms of his/her reappointment for the coming year, or if this is not possible, at the earliest possible date thereafter. At the earliest possible opportunity the faculty member must give written notice to the Dean and his/her Department Chair.

Termination of an appointment before the end of the appointment term (as opposed to nonrenewal of appointment) may be effected by the institution only for adequate cause. See Faculty Termination Policy in Appendix D.

3. Faculty Requirements and Development

3.1. Faculty Office Hours

Individual office hours for advising and student consultations should be listed in the course syllabus and posted on the learning management system. Faculty have the option of listing specific hours and/or to state "by appointment". All faculty teaching within a course must have a minimum of one hour per course unit hour each week dedicated to office hours. When not teaching in a course, all faculty should have a minimum of three hours each week reserved for office hours. Office hours should not conflict with course schedules, and should be within normal business hours.

3.2 Faculty Development

Faculty development is an ongoing process designed to enhance the teaching and research

skills of academics throughout the careers of University faculty. The goal is to increase both teaching effectiveness and scholarly productivity. The success of the program is highly dependent on the sustained commitment of the administration to provide the appropriate space and resources and the faculty's commitment to continuous development of their skills. The purpose is to provide an academic environment that stimulates innovation in teaching, research, and scholarly activity, and encourages University faculty to develop and grow intellectually and professionally and maximize their academic productivity.

Basic resources needed for a successful faculty development program include:

- Encouragement and support from administration for developmental activities
- Release time away from certain faculty and patient care responsibilities when necessary and appropriate subject to the discretion of the Dean
- Funds for travel, research expenses, and equipment consistent with the University's policies and budget
- Appropriate space and routine equipment to conduct research

Programmatic responsibility for the Faculty Development Program is shared between the Department Chairs and the individual faculty. It is the responsibility of the Department Chair to provide the guidance and counseling necessary to assist the faculty member in focusing on specific needs and facilitating activities to address those needs. Ultimate success of a Faculty Development Program rests with the individual faculty member. Each faculty member should address his or her own needs, and through discussions with the Department Chair, focus on and address those needs through the Faculty Development Program.

3.3 Faculty Travel

California Northstate University will refund all reasonable travel expenses for any invited presentations, papers, or posters accepted, if the professional organization or other sponsor does not reimburse expenses, up to a total annual reimbursement of \$2500. The faculty or staff member seeking reimbursements must receive written approval and authorization in advance of travel. The papers and posters presented are an important component of scholarly activity that represent and provide recognition for the College as well as the individual members of the faculty and staff.

Faculty serving as official representatives of the college (e.g., AAMC, AMSA, AMA, ACP, AHA, ACC, ACG, etc.) will have reasonable expenses reimbursed once approved by his/her supervisor.

Faculty serving on professional committees will have reasonable expenses paid when approved in advance by their supervisor. Attendance at selected professional meetings that will enhance the faculty member's teaching and/or research will be considered as Faculty Development and reimbursed as approved by the Department Chair or Dean.

Travel expenses will not be reimbursed for practice faculty traveling between their primary service site and the University.

The process of receiving approval for travel is to complete a Travel Authorization Request Form, which is available from the department Administrative Assistant. The form should be completed with dates of travel, explanation of travel (attach notice for invited presentation, presenting paper or poster, etc.), and an estimate of expenses. The faculty member will resolve any conflicts with teaching or service responsibilities during the leave and prior to submitting the request for leave. The Department Chair must approve the travel. A copy of the approved and signed request form will be forwarded to the faculty member. Faculty should make every effort to minimize expenses (e.g., on-time registration, early booking of airfare). Rental cars will be approved only if necessary to attend a meeting and if equivalent or less than commercial travel (e.g., taxi, etc.). The University does not reimburse for alcoholic beverages or pay-for-TV movies out of its operational budget. Expenses reimbursed by an outside agency must be deducted from the amount billed to the University.

Faculty may be required to submit documentation from the outside agency outlining expenses and/or honoraria received. The approved amount should be considered an expense cap.

Funds from grants for travel can only be spent on behalf of the faculty member.

All reimbursements for travel from University funds must be submitted and detailed on a Travel Expense Voucher. Receipts must be attached to the expense voucher. This form is reviewed and approved for reimbursement by the Department Chair and Dean before being forwarded to the Business Office for processing.

3.4 Faculty Evaluation

Each faculty member will discuss and document achievement of goals for the previous academic year, as well as projected goals for the current academic year, in an evaluation conference with the Department Chair during their annual review.

3.5 Peer Review of Teaching

a. Purpose

The purpose for peer review of teaching is to assist individual faculty members in identifying strengths and weaknesses in their teaching. Peer review of teaching, along with student evaluations of teaching, provides a documented record of performance and contributions to teaching.

b. Procedure

Each full-time teaching faculty member is reviewed by a peer designated by the Department Chair. Department Chairs will be excluded from peer review. For review of Department Chairs, the Associate Dean for Academic Affairs will select the peer reviewer.

- i. The peer reviewer will personally attend one class of the faculty being reviewed.
- ii. In the case of classroom teaching, the peer reviewer will inform the individual faculty member being reviewed of the date of a review one day in advance.

- Following a review, the faculty member should submit to the reviewer any applicable materials the reviewer may not have received during the class period including objectives, test questions, and handouts.
- iii. In the case of clinical /experiential teaching, the peer reviewer will visit the clinical site for review. The individual faculty member being reviewed will be informed of the date of the review (site visit) one week in advance.
 - iv. After the peer reviewer has completed the evaluation, the reviewer will prepare a report summarizing the findings and offering suggestions for development. The report will then be submitted to the Department Chair.
 - v. The report will be discussed with the individual during the next regularly scheduled evaluation meeting or earlier if necessary. Plans for development will be made accordingly.

3.6 Mentoring Program

Purpose

The mentoring program of each college at CNU provides a structured relationship between a faculty member with experience (mentor) and a faculty member with less experience (e.g., new faculty or mentee). The purpose of a mentoring program is for the mentee to capitalize on the mentor's experience and enhance the probability of success. The Mentoring Program is part of the faculty member's overall academic development in the areas of teaching, research, and service.

Goals of the Mentoring Program

1. Assist new faculty (mentee) to adjust to their new environment while learning about, balancing and executing their academic responsibilities.
2. Assist faculty (new or interested established faculty) to meet high standards of rigor, depth and innovation in scholarship and to realize their full potential as scholars, teachers, and members of the academic community.
3. Provide role models of scholarly excellence in the areas of teaching, research, and service.
4. Provide the mentee with regular feedback regarding his/her development.
5. Assist the mentee in planning their careers and in attaining their academic goals.

Desired Outcomes

The success of a mentoring program is evaluated by measuring the level of success the mentee reaches in achieving professional and personal goals, such as:

1. Reaching an effective/efficient balance between academic, service and personal responsibilities.
2. Showing excellence in the areas of teaching, scholarship/research, and service.
3. Attaining explicit professional goals such as promotion and/or continuous long-term contracts and national/international recognition.
4. Capability of obtaining funding for grants and contracts.
5. Demonstrating effective participation in the governance and obligations of a citizen in the profession, College and University, including service as a mentor to those that follow or who are in need of mentorship.

Responsibilities of the Mentoring Advisory Committee

A "Mentoring Advisory Committee" has the following responsibilities:

1. "Training the trainers": planning and designing an on-going staff-training and professional

- development process on mentoring.
2. Establishing policies and procedures that reflect program decisions and practices.
 3. Maintaining all records of mentor-mentee encounters and acting as liaisons between them.
 4. Coordinating mentoring activities and documenting ongoing development of the mentoring program.
 5. Checking-in regularly with mentors and offering ongoing support.
 6. Developing and enforcing guidelines documenting the responsibilities of the Mentor and the Mentee.
 7. Evaluating the efficacy of the program on an annual basis (primarily through questionnaire surveys of mentors and mentees) and tracking program statistics on short-term and long-term results.
 8. For mentoring relationships to grow and last, the staff responsible for the Mentoring Program (“Mentoring Advisory Committee”) will need to be in touch with mentors and mentees on a regular basis in order to assess how well each relationship is progressing and offer guidance and advice along the way.
 9. Regular contacts between (selected) staff of the “Mentoring Advisory Committee” and mentors and mentees can help avoid conflicts, get relationships back on track, and help the program accomplish its goals.

The Mentoring Advisory Committee, with the active support of the Dean and Department Chair, should provide the environment and resources for effective mentoring to occur. Administrators’ responsibilities include time allocations that allow for proper faculty development. Additional time and resources in the form of additional training may also be required.

Criteria for Selection as a Mentor

1. Experienced faculty members will be selected by the Mentoring Advisory Committee to mentor new faculty. The mentor must have demonstrated an ability to be an effective faculty and professional role model.
2. The mentor must be willing to meet with the mentee at regularly scheduled intervals and provide feedback regarding the mentee’s progress.
3. The mentor must be willing to serve for a minimum of one academic year.
4. The mentor must be willing to collaborate with the mentee to write a professional development plan with measurable and obtainable endpoints. This should be done in consultation with the mentee’s Department Chair.

Appointment of Mentors

1. A temporary Mentor will be assigned to each new faculty member. The assignment will take into consideration the best possible match based on scholarly and professional interests as well as common personal characteristics.
2. Following completion of the first year, the mentee may remain with the originally assigned mentor or may change (without the need to state a reason) by selecting a mentor (from a list of available mentors) that match his/her interests in teaching, research, or service.
3. A mentee may choose more than one mentor in order to enrich his/her exposure to different opinions and experiences (mentees should contact the Mentoring Advisory Committee to ensure that the chosen mentor is willing/able to work with the mentee)

Responsibilities of the Mentor

Serving as a mentor is voluntary and must be entered into willingly and with commitment. The

responsibilities of the mentor include, but are not limited, to the following:

1. They must be willing and have the resources to make a commitment to the mentee.
2. They should serve as an advisor, teacher, role model, advocate, counselor, and sponsor of a mentee.
3. They should be able to provide direct assistance or identify others who can provide the mentee with:
 - a. Clinical and didactic teaching and learning strategies, including preparation of materials such as handouts, objectives, slides, and test questions.
 - b. Identification and successful development of clinical practice site, if appropriate.
 - c. Identification of grant sources for research; discuss ideas for research; review research proposals; review the written results of research; discuss and assist with poster presentation/oral communication of research; and assist with review for publication of research.
 - d. Understand their service responsibilities to the College, the department, and the profession.

Responsibilities of the Mentee

The mentee must be willing to spend the necessary time and energy to develop as a faculty member. This program is mandatory for faculty in their first academic position and it is recommended for other faculty in their first year of appointment at CNU. It should be emphasized that nothing prevents any faculty from requesting a mentor at any time.

Determining the Meeting Content/Parameters

1. The mentee is expected to contact the mentor to set up the first meeting in the course of which the following topics should be discussed:
 - a. Both parties should reach a clear understanding of what they expect from each other.
 - b. Frequency, duration, time and place of future meetings.
 - c. Decision as to whether the mentor will have an “open door” policy making himself/herself available at any time.
 - d. Establish how issues of confidentiality will be handled.
 - e. The mentor/mentee relationship should agree to a “no-fault” conclusion of the relationship if either party feels that the intended goal is not being achieved, without reciprocal blaming of one another.
2. Mentees should be encouraged to formulate their career goals clearly, define any problems they perceive and bring specific problems to meetings for discussion.
3. Official contacts should take place at least once/month even if no specific problems exist.
4. If the mentor-mentee relationship proves to be unsatisfactory the mentor or mentee may alert the “Mentoring Advisory Committee” and request a new mentor.

Evaluation of the Mentoring Program

1. The Mentoring Advisory Committee has the responsibility to evaluate the efficacy of the program on an annual basis (primarily through questionnaire surveys of mentors and mentees) and tracking program statistics on short-term and long-term results.
2. The outcome of the mentoring process between mentor and mentee should be discussed, and final reports written individually by the mentor and mentee should be consigned to the Mentoring Advisory Committee.
3. The Mentoring Advisory Committee’s annual evaluation of the mentoring program should be communicated in writing to the Department Chair.

3.7 Faculty Recruitment

Procedures for Selecting New Faculty

Following the Dean's request and the President's approval to hire a faculty replacement or additional faculty members, the Dean in consultation with the appropriate Department Chair will structure an ad hoc Search Committee that will conduct a faculty search and make recommendations to the Dean for appointment. The Dean will appoint the Chair of the Committee. The Search Committee will consist of at least three faculty from the respective Department.

The Committee will conduct a national search for candidates, screen all applications and select appropriate candidates for interviews, the names and credentials of which will be sent to the Dean for comment. An interview will be arranged which will provide an opportunity for all faculty especially those of the respective department to meet the candidate and attend the candidate's presentation. After and during the interview the Search Committee members will seek opinions of the faculty in developing a recommendation to the Dean concerning each candidate interviewed. The Dean shall include the advice of the Search Committee concerning the offering of a position to a candidate.

Search Committee records shall be confidentially maintained in Human Resources Department for a minimum of five years.

Interview and Itinerary Procedure for Faculty

It is recommended that the candidate have either breakfast, lunch, or dinner with two members of the Search Committee on the first day of the interview. This will impart a comfortable, non-threatening, social atmosphere where the committee representatives and the candidate can converse. During this time the candidate should be made aware of the mission, vision and goals of the College and the expected competencies of its graduates. The conversation must remain focused on the University, the College, and the job role.

It is recommended that formal interviews of approximately 30 minutes in length be scheduled with at least the following (others included when necessary):

Dean

Associate Dean for Academic Affairs

Department Chair

Search Committee

Collective Faculty of the candidates department

New Candidate Presentation

It is recommended that the prospective faculty member provide a presentation on his/her scholarly endeavors. While the candidates' personal and professional teaching philosophies are very important, these are to be evaluated during individual faculty and Search Committee interviews.

3.8 Part-Time Faculty

Part-time faculty are used for specific courses and lectures when full-time faculty are unavailable. They are selected based on their expertise in the subject area. The Department Chair in the Department that is responsible for the course evaluates the credentials of the faculty member. A recommendation to appoint the faculty member part-time is then presented to the Dean. The requirements for teaching the course/lecture are discussed with the Department Chair or course coordinator. The teaching effectiveness of the part-time faculty is evaluated in the same manner as full-time faculty.

Part-time faculty that perform a service on a regular basis should be added to the payroll. The Chairs will furnish the part-time faculty with an appointment letter that provides salary information and teaching responsibilities. If they provide a service occasionally (class, practice experience, etc.) they should be paid using a Request for Payment (RFP).

4. Academic Policies and Procedures

4.1 Student Advising Program

The Student Advising Program is under the direction of your College's Assistant Dean for Student Affairs and Admissions. This program provides information for successful matriculation and professional development of our students and key faculty members are utilized as resource personnel.

All students will be assigned a faculty advisor during orientation who will serve as their advisor through the entire academic program.

This program requires a coordinated effort between the following:

A. Assistant Dean for Student Affairs and Admissions - The responsibilities of this office are to:

1. Provide faculty-training programs
2. Assign students to individual faculty advisors
3. Monitor the advising process

B. Faculty Members - The responsibilities of faculty advisors are to:

1. Participate in training programs provided by the Assistant Dean for Student Affairs and Admissions
2. Approve student registration forms
3. Advise and/or refer students as appropriate
4. Meet with advisees at least twice per semester
5. Monitor student academic progress and assist the student in seeking appropriate help
6. Provide status reports on each advisee to the Assistant Dean for Student Affairs and Admissions at the end of each semester
7. Monitor the advisee's academic portfolio

C. Student Advisees - It is the student's responsibility to be aware of all College degree

requirements as published in the academic catalog, and to insure that such requirements have been met or that appropriate waivers have been secured and filed in the Office of the Registrar. The specific responsibilities of the advisees under this program are to:

1. Obtain registration approval from their faculty advisor
2. Meet with advisor at least twice per semester
3. Evaluate the faculty advisor annually

4.2 Responsibilities of Course Coordinators

A. Develop Course Policies and Procedures in Cooperation with Course Faculty

It is the responsibility of the course coordinator to ensure the faculty in the course are in agreement on course procedures. All faculty should have a sense of commitment to the entire course, not limited to the areas in which they teach. To build this commitment the coordinator should do the following:

1. Prior to the course, meet with the course faculty to reach consensus on the course structure including: teaching and exam schedule, use of active learning components, number of exams, exam construction (format of questions, plan for the cumulative component of all exams, deadline for submission of exam questions and answers), content of course pack (if applicable), deadline/timelines for any other materials or activities required of course faculty, point distribution for exams and other activities, and changes to any policies or procedures on the syllabus (if applicable).
2. In the event consensus cannot be reached regarding the above elements of the course, the final decision should be based upon the majority opinion of the course faculty.
3. Review exam questions for consistency with determined format, grammatical errors and appropriate length. Contact individual faculty regarding any edits to their questions other than grammatical and reach agreement.
4. Provide the item analysis of the entire exam to all faculty members who wrote questions for the exam. If the item analysis indicates a question should be dropped from an exam, the course coordinator should contact the faculty member who wrote the question and reach agreement.
5. Contact individual course faculty regarding any issues from the focus group or other enrollees in the course that pertain directly to that faculty member to achieve joint resolution.
6. Following each examination, provide a copy of the grade roster from the exam to those course faculty members who desire a copy. Furthermore, make the complete grade book available to all course faculty members at their request.
7. Calculate final grades in the course according to the grading scale on the syllabus. Provide these grades to the course faculty who desire a copy. Enter the grades on the official grade roster and submit to the registrar.
8. At the conclusion of the course, meet with the course faculty to discuss successes and changes for future offerings of the course.

B. Maintain the Course Syllabus

It is the responsibility of the course coordinator to maintain the course syllabus and ensure the

syllabus used reflects what was approved by the curriculum committee. The course coordinator should adhere to the following policies established by the curriculum committee:

1. All syllabi should contain the information on the curriculum committee's "Checklist for Syllabus Content."
2. Minor changes in course content are permissible and the syllabus should reflect these changes.
3. Major changes in the course content must be approved by the Curriculum Committee (e.g. removal of a disease state topic). The syllabus should reflect these changes.

C. Implement Course and School Policies and Procedures

1. Provide the examination dates to the Associate Dean for Academic Affairs or other designated Associate/Assistant Dean prior to the start of the semester.
2. Provide a copy (paper or electronic) of the final course schedule (including teaching and exam dates) and syllabus to the course faculty, Curriculum Committee Chair, Department Chairs, and Associate Dean for Academic Affairs and Research prior to the first day of class.
3. Post the final course schedule and syllabus to ASAP before the first day of class.
4. Arrange for course shells in CAMS (if applicable) in coordination with the College's Instructional Technology Center adhering to deadlines.
5. Remind course faculty they are responsible for following copyright law including proper referencing of sources, posting copyright notices and obtaining copyright permissions as needed.
6. Get approval from course coordinator's Department Chair to pay honoraria for outside lecturers.
7. Monitor the final course schedule for adherence by course faculty. In the event faculty do not need all allotted time, seek, if possible, utilization of the time for other course activities aimed at enhancing learning in lieu of canceling class.
8. Schedule periodic meetings with the focus group and address concerns.
9. Ensure there are cumulative components to all examinations within and at the end of the course.
10. Administer examinations (or arrange for the administration of examinations by other course faculty) including makeup examinations (if applicable).
11. Return results of examinations to the students in a timely manner. The examination return policy should reflect the policy of the course coordinator's academic department.
12. Maintain ultimate responsibility for the grade book, the student's final grade, or changing a student's grade.
13. Meet deadline for submission of the student's final grade to the Registrar's Office.
14. Respond to formal grade appeals and honor code violations in a timely manner according to the College's Policy.
15. Review of the Course within four weeks of its completion and submit a report to the Curriculum Committee, Department Chair, and/or Associate Dean for Academic Affairs or other designated Associate/Assistant Dean.

4.3 Responsibilities of Course Faculty

1. Meet the deadlines for submission of handouts, exam questions and answers, and other course materials.

2. Follow copyright law including proper referencing of sources, posting copyright notices and obtaining copyright permissions as needed.
3. Based on consensus reached regarding administration of examinations, be prepared to administer an examination in which the faculty member has a significant number of questions.
4. Adhere to the course schedule. Obtain approval from the course coordinator for scheduling of any outside activities beyond those indicated in the final schedule. Obtain approval from the course coordinator for any desired changes to the final teaching schedule. Inform the course coordinator if allotted time will not be used in its entirety, so that the time can be used for other course related activities to enhance learning.

4.4 Submission of New Courses/Course Changes

All submissions of new courses or changes in existing courses must be initiated at the departmental level before being submitted to the College Curriculum Committee. The Curriculum Committee will submit its recommendation to the entire College faculty for discussion and faculty vote. The remainder of this process will be in accordance with University and College policy and procedure.

4.5 Honor Code

California Northstate University operates under an Honor Code that is intended to serve as a guideline for ethical behavior. Students and faculty alike are bound by this Code and are expected to uphold the articles of the Code. Faculty members are urged to report all violations of the Code to the College's Honor Council. The Council, observing strict confidentiality, decides on the guilt or innocence of an accused individual and suggests an appropriate punishment for each infraction. The faculty member in whose class an infraction occurs will be consulted if the punishment includes lowering of a grade or failure in a course.

The Bylaws of the College's Honor Council are published in the Student Handbook. Faculty members are advised to become familiar with Honor Council procedures, either by reading the Articles or by consulting with the faculty advisor.

4.6 Academic Integrity

Mutual trust is a basic component of any community. California Northstate University expects students, as members of the academic community, to take seriously their position in that community. Students are expected to ensure the continuing responsibility for their own work. The University and its Colleges consider breaches of this trust and responsibility to be serious offenses.

Academic offenses that constitute violations of the Honor Code include, but are not limited to, plagiarism, cheating, lying, and, academic theft.

Plagiarism is the copying of words, facts, or ideas, belonging to another individual, without proper acknowledgment. Failure to reference any such material used is both ethically and legally improper.

Cheating includes the deliberate submitting of work that is not one's own and that violates the professor's instructions for the work; the use of testing materials from past testing periods as a study guide, unless authorized by a professor; possession of written materials, not expressly authorized by the professor during an examination or test, that contain matter relevant to the course in which the examination is being taken; discussion of examination contents with any other student while taking an examination or test; and divulging or receiving any information on the content or form of any examination that either student has not yet taken. A student who knowingly aids another student to plagiarize or cheat will be considered as responsible as the plagiarizing or cheating student.

Lying is defined as making a statement that one knows is false or is intended to deceive. Academic theft is the removal of academic materials, depriving or preventing others from having equal learning opportunities.

4.7 Research and Publication

Faculty are encouraged to pursue scholarly activities including research publications. Please refer to the Intellectual Property Policy labeled as Appendix E.

5. Confirmation of Receipt

I confirm my receipt of my copy of the California Northstate University's Faculty Handbook. I understand that it is my responsibility to read, familiarize myself with, and follow the policies and procedures contained in the Faculty Handbook.

Faculty Member's Signature _____

Faculty Member's Printed Name _____

Date _____

6. Appendices to Faculty Handbook

6.1 Appendix A: President's Office Review of Request of Promotion

The Office of the President shall review the recommendation by the Dean and the Chair of the Rank and Promotion Committee and the dossier/portfolio of the faculty candidate.

The President's Office will render a decision based on the following criteria:

1. The promotion policy is followed.
2. There exists a described quantifiable process to access the candidate's dossier/portfolio.
3. The strength of the evidence supporting the request for promotion is described.
4. The integrity of the review process is maintained throughout review process from the Human Resource perspective.

The Office of the President may render the following action:

1. Grant approval for promotion
2. Denial request for promotion
3. Request further information or clarification before rendering a decision

Criteria	Met/ Not Met	Comment
1. Years of employment met		
2. An understanding and acceptance of, and commitment to, the purpose and objectives of the College		
3. Quality of performance		
4. Quality and quantity of assignments		
5. Evidence of cooperation, positive outlook, and maturity		
6. Proficiency as an educator		
7. A record of scholarly accomplishments		
8. Evidence of ongoing professional development		
9. Evidence of availability to individual students for advisement and willingness to share in their concerns		
10. Evidence of involvement and participation in campus, professional, and community activities		
11. Demonstrated competency in the professional discipline of the faculty member		
12. Demonstrates intellectual competence, integrity, independence, enthusiasm, and a spirit of scholarly inquiry		
13. Faculty in the clinical areas have additional responsibilities in terms of service to a clinical practice site		
14. Appendix A-A: Teaching indicators are reviewed		
15. Appendix A-B: Scholarly/Research Activity are reviewed		

The Office of the President has reviewed the recommendation based on the Policy:

ASSOCIATE PROFESSOR

1. Definition: faculty who possess a Doctoral degree in his/her discipline, meets the criteria for rank of Assistant Professor, and demonstrates a sustained and significant record of accomplishments in teaching, scholarship/research activities, and professional service.
2. Time in previous rank: a minimum of five (5) years must be spent at the rank of Assistant Professor at CNU before consideration can be given to promotion to the rank of Associate Professor; however, the candidate may have the opportunity to apply early for consideration for promotion based on previous time and service credit recommended by the Rank and Promotion Committee, endorsed by the Dean, and awarded by the President under the authority granted by the Board of Trustees.
3. Academic areas considered for promotion to this rank: *excels* in two of the three areas of teaching, scholarship/research activities, and professional service, while *demonstrating satisfactory* activity in the third area.

PROFESSOR

1. Definition: faculty who possess a Doctoral degree in his/her discipline, meets the criteria for rank of Associate Professor and demonstrates continued sustained and significant record of accomplishments in teaching, scholarship/research, and professional service. The rank of Professor is among the highest honors that the college can bestow upon a faculty member. Therefore, this rank is granted only to faculty members who have distinguished themselves in their discipline at national and/or international levels. The faculty member must demonstrate a sustained record of outstanding achievements in teaching, scholarship/research activities, and professional service. The faculty member must *excel* in two of the three academic areas, and demonstrate *significant activity* and *accomplishment* in the third area. Although other factors will be considered, consultantships, publications in peer-reviewed journals, invited "editorialships" and lectureships, and the holding of a professional societal office will be important factors considered in assessing a faculty candidate's accomplishments.
2. Time in previous rank: a minimum of five (5) years must be spent at the rank of Associate Professor at CNU before consideration can be given to promotion to the rank of Professor; however, the candidate may have the opportunity to apply early for consideration for promotion based on previous time and service credit recommended by the Rank and Promotion Committee, endorsed by the Dean, and awarded by the President under the authority granted by the Board of Trustees.
3. Academic areas considered for promotion to this rank: sustained record of *outstanding achievements* in two of the academic areas of teaching, scholarship/research activities, and professional service, while *maintaining excellence* in the third area.

Narrative decision: _____

Date: _____

Signature: _____

President of the University

6.2 Appendix B: Indicator/Criteria of Accomplishments for Promotion

Indicators that the Rank and Promotion Committee will take into consideration when deliberating on the merits of a faculty member who has applied for promotion are, but not limited to, the following:

A. Teaching

Examples of indicators for accomplishments in the area of teaching are, but not limited to, the following:

1. Demonstration of yearly update of educational materials and teaching activities consistent with new knowledge and the application of that knowledge to practice.
2. The creation, development, and implementation of a new course, such as, but not limited to, an elective course
3. The creation, development, and implementation of a new teaching laboratory or practice exercise.
4. The creation, development, and implementation of an innovative teaching approach, or unique and new teaching aids.
5. The creation, development, and implementation of innovative grading or testing procedures.
6. Teaching competence as determined by teaching evaluation performed by peers and/or formal commendations received from faculty of higher rank in team-taught courses.
7. Receiving formal recognition for *quality* of classroom teaching activities.
8. Serving as an effective mentor for students in directed study courses or projects such as, but not limited to, laboratory work (research) or an elective course that involves self study.
9. Collaborating with other faculty to achieve effective integration of instruction.
10. Overall teaching ability as perceived by students and documented by their responses on periodic student course evaluation surveys.
11. Serving as course coordinator for a core course.
12. Attending professional workshops or conferences that advance the development of the candidate as an instructor.
13. Demonstration of proficiency in teaching in the experiential program.

B. Scholarly/Research Activity

Examples of indicators for accomplishments in the area of scholarship/research are, but not limited to:

Quality and number of publications, as defined by a published paper that meets the following criteria:

1. Book, primary author;
2. Book, secondary author;
3. Book, editor;
4. Primary author of a refereed Review article;
5. Primary author, patent – work is not otherwise published;
6. Publication of results of research in peer-reviewed journals or other professional publications;
7. Publication of other scholarly work in peer-reviewed journals and other professional publications;

8. Writes and submits as principal investigator research proposal or grant application to appropriate extramural or intramural funding agency that *receives funding*;
9. Primary author of original, peer-reviewed work not included in the above nine (9) items.
10. Book chapter, primary author;
11. Invited poster or platform presentation as primary author or principal investigator;
12. Publication of a peer-reviewed abstract as primary, secondary or senior author in which results of research or other scholarly work presented as a poster or platform presentation at a professional meeting;
13. Primary author of a refereed Case report;
14. Secondary author of a Book chapter;
15. Peer-reviewed review article as secondary or senior author;
16. Primary, secondary or senior author of a Continuing Education article;
17. Primary author of a peer-reviewed letter to the editor;
18. Secondary author of a peer-reviewed original work.

Additional Scholarly Activities that can be included in the dossier/portfolio include, but are not limited to:

1. Writes on average one (1) high quality research proposal or grant application that does not receive funding every two years and submits the proposal or grant application to an appropriate intramural, extramural, private or public agency or board;
2. Publication as primary, secondary or senior author of a non-peer-reviewed abstract in which results of research or other scholarly work is presented as a poster or platform presentation at a professional or scientific meeting;
3. Receiving an award and/or a commendation recognizing scholarly accomplishments;
4. Numbers of citations of papers published (impact factor) while a faculty member of CNUCOP.
5. Scholarly/research activities also includes the development, demonstration, documentation and evaluation of innovative methods that increase effective teaching as long as such work results in the publication of the results of the innovation.

C. Professional Service

Specific professional service that the Rank and Promotion Committee will consider includes, but is not limited to, the following:

1. To College and/or Department:

- a. Serves on committees of the Department or College;
- b. Effectively carries out committee assignments and related responsibilities;
- c. Serves on committees of the department or College as chairperson;
- d. Serves as faculty advisor to student groups/organizations;
- e. Represents the college at regional or national levels as an elected delegate or other officially recognized representative;
- f. Received an award or commendation for these areas of service;
- g. Performs administrative or service duties for the department or College (e.g., prepared special projects and performed special assignments made by the Department Chair, Assistant or Associate Dean, or Dean);
- h. Performs activities to benefit the College not described elsewhere in this section.

i. Development of a postgraduate program.

2. To Professional and/or Community Organizations:

- a. Serves or has served on a committee for a professional, scientific or community organization, association or society;
- b. Serves or has served as an officer of a professional, scientific or community organization, association or society;
- c. Serves or has served as a consultant in their area of expertise to non-college agencies, professional, scientific or community organizations, associations or societies, or industry;
- d. Has received awards or commendations for any of the above three (3) items (2a, 2b or 2c);
- e. Reviews or has reviewed manuscripts for scholarly publications, organizations, associations or societies;
- f. Reviews or has reviewed grant proposals and/or written applications for extramural granting agencies;
- g. Reviews or has reviewed, as an external reviewer, the dossier/portfolio submitted as an application for promotion and/or tenure by a candidate from another institution;
- h. Serves or has served as an external reviewer for the program review of another institution.
- i. Serves or has served as an editor, associate editor or on the editorial board of a journal.

3. To Clinical Practice Sites

The Rank and Promotion Committee will also take into consideration for faculty in the Clinical and Administrative Sciences Department, when appropriate, service to clinical practice sites in the areas of, but not limited to:

- 1. Clinical service through use of scientific principles in the detection, assessment, and resolution of drug therapy problems.
- 2. Provision of quality, patient-centered programs and services with responsibility for outcomes.
- 3. Practice competence as reflected in practice site evaluations.
- 4. Presenting on subjects relating to pharmacy practice.
- 5. Receiving a practice development grant.
- 6. Directing an experiential practice program.
- 7. Participating as an invited contributor in a national symposium or workshop on pharmacy practice.
- 8. Receiving a widely recognized or national practice award.
- 9. Receiving board certification or a specialty certification in the area of expertise (i.e., BCPS, Geriatrics, etc.).
- 10. Presents or provides written continuing education programs to practitioners.
- 11. Plans, creates develops and presents continuing education programs to practitioners.
- 12. Plans, creates develops and provides written continuing education programs to practitioners.
- 13. Develops and presents certification programs to practitioners.
- 14. Other documentary evidence of achievement of a professional nature as provided by the candidate.
- 15. Working with the Director of Residency Program to develop a new residency program.

6.3 Appendix C: Multi-Year Appointment Policy and Procedures

Multi-Year Re-Appointment Policy and Procedures

I. Policy Statement

The purpose of this procedure is to establish a process for the multi-year reappointment of eligible and qualified full-time faculty of California Northstate University College of Pharmacy (“CNUCOP”). Multi-year reappointment shall be determined and made on the bases outlined below. The term of the reappointments shall not exceed five (5) years and faculty must be given an appropriate notification of non-renewal of appointment prior to the appointment expiring, consistent with the policy and procedures for non-renewal of faculty members

II. Purpose

The purpose of this procedure is to establish a process for the multi-year reappointment of eligible and qualified full-time faculty of California Northstate University College of Pharmacy (“CNUCOP”).

III. Scope/Coverage

This procedure applies to all full-time faculty members of CNUCOP and California Northstate University’s other Colleges and Programs beginning when opened for the first class of students.

IV. Procedure

- a. Eligibility for consideration for a multi-year reappointment is established by a faculty member’s annual performance evaluations. Once eligible, the respective faculty member will be reviewed and recommended for reappointment or non-reappointment by the respective department Chair and the Dean, based on approved qualitative and quantitative standards and factors, with final institutional approval by the President.
- b. New faculty members are hired on a one-year appointment. All full-time faculty members have the opportunity to receive consideration for a multi-year renewal appointment after the successful completion of the first year appointment. If successful, the initial reappointment will be for a two-year term of renewal. After the successful completion of the first three years with CNUCOP, faculty members can be considered to receive an additional two-year term of renewal. Upon the successful completion of the first five years with the college, faculty members may be considered for up to a five-year renewal appointment.
- c. All faculty members must undergo an annual performance evaluation regardless of the duration of their appointment. To be eligible for reappointment, a faculty member must receive certain minimum ratings on his or her annual performance evaluations, as described below. Specifically, a minimum overall performance rating of “successful” must be achieved at each annual evaluation for a faculty member to be eligible to receive consideration for a two-year renewal appointment. To receive a five-year renewal

appointment, a faculty member must achieve at least an overall rating of “successful” annually and at least one “exceptional” in one of the three areas: teaching effectiveness, scholarly activity and services during the previous five years. To maintain and be eligible to receive consideration for an additional five-year renewal appointment, a faculty member must maintain a minimum overall performance rating of “successful” annually, with at least one “exceptional” rating over the previous five years. Faculty members who are not eligible for a five-year reappointment may be considered for successive two-year appointments if eligible for the latter. Faculty members who are not eligible for reappointment because they do not meet the eligibility standards for a two-year reappointment shall be notified at least 3.5 months prior to the expiration of their respective appointments. Faculty members who are on a five-year appointment shall be notified at least 5.5 months prior to the expiration of their respective appointments.

- d. The respective Chair will make recommendations for reappointment and non-reappointment to the Dean. These recommendations will include recommendations regarding any appropriate salary adjustments. The Dean will then submit recommendations regarding reappointment and non-reappointment, including any appropriate salary adjustments as well as the Dean’s modifications to the Chair’s recommendations, to the President of the University. The President shall review the recommendations and provide the final institutional approval or disapproval, including salary. The President’s final approval or disapproval will be based on institutional needs such as budgetary, University policy, and legal considerations, and other extenuating circumstances.
- e. The final decision on reappointment shall be communicated to each faculty member by the respective department Chairs, in consultation with Human Resources. All notices of non-renewal shall be delivered in writing to each faculty member prior to the expiration of their respective appointments. For those serving a two-year appointment, at least 3.5 months’ notice is required. For those serving a five year appointment, at least 5.5 months’ notice is required. Notices of renewal shall state the length of the renewal period, the salary and other conditions of the reappointment.
- f. All faculty members must adhere to the Faculty Code of Conduct, and are subject to discipline up to and including dismissal, at any time, notwithstanding a term appointment. Faculty terminations are subject to the procedures outlined in the Faculty Termination Policy.

Associated forms:

Faculty Termination Policy

Approval record:

APPROVED: BOT: 10/23/14

REVIEW: every two years (or more often if required)

6.4 Appendix D: Faculty Termination Policy

Faculty Termination Policy

I. POLICY AND GENERAL STATEMENT

Adherence to the faculty Code of Professional Ethics and to the Conduct Regulations set forth by the California Northstate University (the “**University**”) is the responsibility of the individual faculty member. The principles implicit in these procedures are for the benefit of all faculty who are involved with or are affected by the rules and regulations of the University.

II. PURPOSE

The purpose of this document is to provide a process for addressing and ensuring that a faculty member’s rights, during the termination process, are adequately protected.

III. SCOPE/COVERAGE

This policy applies to all University faculty who are dismissed during the period of his/her appointment. It is the overall goal of the University to resolve any concerns, issues or problems which may result in termination at the lowest possible administrative level prior to such occurrence.

IV. PROCEDURE

The procedures contained herein adhere to the requirements of the California Administrative Procedure Act, as well as to ensure that each faculty member’s constitutional due process rights are protected. Accordingly, a faculty member will not be subjected to termination, absent his or her agreement, unless s/he has been provided:

- written notice for basis of termination against him/her;
- the opportunity to be heard by an initial committee of peers randomly selected;
- the opportunity to appeal the decision to an appeal committee, which will be comprised of a minimum of three (3) members randomly selected;
- the right to be accompanied to all termination hearings by an advisor of his/her choice; and
- the opportunity for a recording of the hearings.

The procedures set forth herein identify checks and balances to protect the rights of each faculty member during the termination process. For example, no termination action may be imposed absent a review by the President of such a recommendation, absent a review by a committee of the faculty member’s peers, nor absent notification of the Board of Trustees by the President as to all stages of a termination process.

The Faculty Termination Procedures enumerate timelines that shall be followed at each stage of the termination process to ensure that any concerns pertaining to the termination are resolved in as timely a manner as possible. Timely resolution of the termination process protects the rights of all participants to the process.

6.5 Appendix E: Intellectual Property Policy

CALIFORNIA NORTHSTATE UNIVERSITY INTELLECTUAL PROPERTY POLICY

Purpose

The purpose of this Intellectual Property Policy (“Policy”) is to set forth the general policies that define the rights and obligations of California Northstate University (“University”); all persons employed by the University including its faculty, staff, students; and, all persons and entities using the University’s funds, space, facilities, materials, personnel, or other resources.

Definitions

For the purposes of the Policy, the following terms are defined as follows:

University: California Northstate University, LLC, its colleges, its departments and offices, and any related foundation or other related entity formally associated with the University.

Copyrightable Work: An original work of authorship which has been fixed in any tangible medium of expression from which it can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device, such as a book, magazine, journal, software, computer program, pictorial or graphic work, video, sound recording, multimedia product, dramatic work, musical work, etc. A Copyrightable Work may be the product of a single author or a group of collaborating authors.

Creator: Any faculty, staff, and other persons employed by the University, whether full time or part time, visiting faculty and researchers, students, and any other persons who create or discover Intellectual Property at the direction of the University or using University resources. A Creator may be a single person or entity, or a group of collaborating persons and entities. A Creator of an Invention, however, must be an inventor of the Invention as defined by the United States patent laws or, if protection is sought outside of the United States, by the legal standards of the country in which rights are sought.

Institutional Works: Works created at the instigation of the University, under the specific direction of the University, for the University’s use, by persons, entities, or both acting within the scope of their employment or otherwise subject to a written contract with the University.

Intellectual Property: All forms of intellectual property, including but not limited to Copyrightable Works, Inventions, Tangible Research Property, Trademarks, and Trade Secrets.

Invention: The legal construct of an Invention is defined by the United States patent laws or, if protection is sought outside of the United States, by the laws of the country in which patent rights are sought. In the United States, an Invention can be any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof. Intellectual Property can be considered an Invention, for example, if it reasonably appears to qualify for protection under the law of the country in which protection is sought, whether or not the Intellectual Property is determined to be actually patentable. An Invention may be the product of a single inventor or a group of collaborating inventors.

Patent: A set of exclusive rights granted by a government to an inventor or assignee for a limited period of time in exchange for a public disclosure of an Invention.

Policy: This Intellectual Property Policy of California Northstate University as set forth herein.

Software: Written programs or procedures or rules and associated documentation pertaining to the operation of a computer system and that are stored in read/write memory. Software includes computer programs, computer databases, documentation, source code, source code listings, design details, algorithms, processes, flow charts, formulae, and any related materials that would enable software to be produced, reproduced, recreated, or recompiled.

Tangible Research Property: Tangible items include any items produced in or derived from the course of research such as, for example, chemicals, materials, small molecules, large molecules, biological materials, amino acids, peptides, proteins, nucleic acids, oligonucleotides, polynucleotides, DNA, probes, vectors, cells, transfected cells, antibodies, pharmaceuticals, drug delivery systems, medical devices, therapeutic apparatus, therapeutic interventions, in vitro assays, in vivo assays, data, databases, computer databases, algorithms, computer software, engineering drawings, prototypes, equipment, charts, graphs, tables, research methods, business methods, other records or information, etc. Individual items of Tangible Research Property may be associated with one or more items of Intellectual Property, such as Copyrightable Works, Inventions, Trademarks, and Trade Secrets.

Trademark: A distinctive word, design, or graphic symbol, or a combination of any word, design, or graphic symbol, that identifies and distinguishes the goods and services of a particular person or entity.

Trade Secret: Information that is not generally known to the public and confers some sort of economic benefit on its holder and derived specifically from its not being generally known rather than just from the value of the information itself. Trade Secrets must be subject to reasonable efforts to maintain secrecy.

Objectives

The mission of the University is to advance the art and science of healthcare. In accord with this mission, the objectives of the Policy are: (1) to encourage the development of Intellectual Property for the best interest of the University, the public, and the Creator of the Intellectual Property; (2) to provide timely disclosure and protection of Intellectual Property; (3) to allow faculty, staff, and students of California Northstate University maximum academic, scientific, and professional freedom in developing Intellectual Property, consistent with any obligations of employment and sponsored research; and (4) to protect California Northstate University's interest in Intellectual Property.

Applicability

This Policy applies to (1) all persons employed by the University; and (2) all persons and entities using the University's funds, space, facilities, materials, personnel, or other resources, including but not limited to adjunct faculty, visiting faculty and researchers, and students, except to the extent the University and such persons or entities enter into a separate written agreement relating to specific Intellectual Property and related work by such persons and entities. University employees shall not enter into intellectual property agreements related to outside employment, such as consulting or summer employment agreements, and shall not collaborate with others on the conception, research, development, production, or other creation or reduction to practice of Intellectual Property, without first providing written notice to all prospective employers and collaborators that the Intellectual Property rights of the University cannot be subordinated to a third party employment, consulting, or collaboration agreement, and without first disclosing such employment, consulting agreement, or collaboration to the University and providing copies of any related written agreements to the University.

Copyrightable Works

5.1 General: Except for Institutional Works and Works Developed with Significant Use of University Resources as described in Sections 5.4 and 5.5 below, and notwithstanding the work for hire doctrine, the ownership of textbooks, manuscripts for publication in books, articles for publication in academic journals, trade publications, popular magazines or newspapers, or other mediums of expression, scholarly monographs, charts, maps, works of nonfiction, novels, artistic works, supporting materials, and like works shall be held by the Creator.

5.2 University's Royalty-Free Use of Works: Except for textbooks, the University shall have royalty-free use of the scholarly and artistic works described in Section 5.1 above within the University, unless agreed otherwise in writing. If the work is to be published, the Creator shall diligently request that the University be provided with a

royalty-free right to use the manuscript within the University in its teaching, research, and service programs, but not for external distribution, and, if successful, the Creator shall grant such right to the University.

5.3 Student Academic Creations: The ownership of student works submitted in fulfillment of academic requirements shall be with the Creator. The student by enrolling in the University gives the University a nonexclusive royalty-free license to use, mark on, modify, and/or retain the work as may be required by the process of instruction, or otherwise handle the work as described in the course syllabus. The University shall not have the right to use the work in any other manner without the written consent of the Creator. Where the creation is part of any ongoing research or development project, the involved faculty or staff shall have the right to use and to modify the creation for use within that project and related research projects without additional consent of the Creator. Students working on a project governed by a written agreement to which the University is a party shall be bound by the terms of that written agreement. Students who are hired to perform specific tasks that contribute to a Copyrightable Work will ordinarily have no rights to ownership of that work, regardless of the source of funds from which they are paid; in such cases, the party who owns the copyright of the rest of the work will ordinarily retain copyright ownership of the portion contributed by the student. Students working collaboratively with academic employees on projects that result in a Copyrightable Work may be granted the same rights and obligations of copyright ownership as would academic employees working collaboratively on the project; students and academic employees should establish these rights at the outset of their collaboration through written authorization from the academic dean or his delegated associate dean, assistant dean, department chair, or director.

5.4 Institutional Works: The University shall retain sole ownership of Institutional Works. Institutional Works are defined in Section 2 above and include, by way of example and not by way of limitation, (1) manuals, brochures, CDs, videos, and training programs prepared by hired staff members or by persons hired for that purpose, (2) software developed for the University, and (3) work assigned to programmers. The University owns all rights, title, and interests in such Institutional Works and the Intellectual Property related thereto, except as provided in prior written agreements between the University and Creator of such works.

5.5 Works Developed with Significant Use of University Resources: Copyrightable Works that are not Institutional Works but are works that are developed with significant and integral use of funds, space, facilities, materials, personnel, or other resources administered by the University, where such use was substantial and essential rather than incidental, shall be owned by the University. In addition, Copyrightable Works that are not Institutional Works but are works that are developed in the course of or

resulting from research supported by a grant or contract with the federal government (or an agency thereof) or a nonprofit or for-profit nongovernmental entity, or by a private gift or grant to the University, shall be determined in accordance with the terms of the sponsored grant or contract, or in the absence of such terms and to the extent consistent with copyright law, shall be owned by University. The University recognizes and affirms the traditional academic freedom of its faculty and staff to publish scholarly, pedagogical, and artistic works without restriction. In keeping with this philosophy, the University will not construe the provision of offices or library facilities as constituting significant use of University resources, except for those instances where the resources were furnished with the specific purpose of supporting the development of such Copyrightable Works.

5.6 Disclosure, Assignment, and Protection: Creators of Copyrightable Works that are not owned by the University under this Policy own the copyrights in their works and are free to publish them, register the copyright, and to receive any revenues which may result therefrom. Notwithstanding the immediately preceding sentence, Creators of Copyrightable Works must nevertheless promptly disclose to the University any work of their authorship, any part of which was created during their time of employment by the University, including but not limited to any Copyrightable Works made under sponsored research or cooperative arrangements. Disclosure shall be made on a disclosure form prescribed by and available from the University. Such persons shall cooperate with the University to the best of their ability in protecting Intellectual Property rights in their works of authorship. Furthermore, upon request by the University to perfect Intellectual Property rights, such persons shall (1) warrant that, to the best of their knowledge, the work does not infringe upon any existing copyright or other legal rights, that work not identified as quotation is the expression or creation of the author, and that necessary permission for quotation and the use of third party works has been obtained; and (2) execute such documents and perform such other things as the University may reasonably require to perfect the University's rights in such works. Notwithstanding the foregoing, the University will process federal registration for University owned Copyrightable Works when the University concludes that such University owned Copyrightable Works should be licensed for commercial exploitation or when registration is required under terms of a sponsored agreement.

5.7 Software: All software is copyrighted, may be federally registered as such, and may also be patentable. Rights to Software developed by a Creator shall vest in the University, when there was any support of the Creator's efforts through use of funds, space, facilities, materials, personnel, trade secret information, or other resources administered by the University. A grant or contract between a sponsor and the University usually contains specific provisions with respect to the disposition of rights to Software, and such prior contractual obligations may define the disposition of Software developed during the project; in the absence of any such provisions, rights to Software developed by a

Creator shall vest in the University. In those cases in which Software ownership rights are vested in the University, or in cases in which income is shared between the sponsor and the University, the Creator will share in income earned by the University as set forth in Section 8. In recent years, the United States Patent and Trademark Office has determined that software which meets certain technical and legal criteria may be patentable. In the case that Software originally disclosed as a Copyrightable Work subsequently is determined to be patentable subject matter, and the University chooses to seek patent protection for the Software, then such Software shall thereafter be managed under this Policy as an Invention.

Inventions and Patents

6.1 General: All Inventions conceived, researched, developed, produced, or otherwise created or reduced to practice, that result from an individual's employment responsibilities or that result from support from funds, space, facilities, materials, personnel, trade secrets, or other resources administered by the University shall belong to the University and the inventor shall assign all rights in the Invention to the University. For purposes of this Policy, researching an Invention includes all scholarly research conducted in the course of the Creator's University employment, including but not limited to performance of research sponsored by the University or by an external agency/corporation or with University funds, space, facilities, materials, personnel, trade secrets, or resources. The University shall have the sole right to determine the disposition of such Inventions. In making such a determination, the University will act in a manner, which in the sole judgment and discretion of the University, is in the best interests of the University, the Creator, the Invention's research sponsors, and the public.

6.2 Sponsor Supported Efforts: Ownership of an Invention developed in the course of or resulting from research supported by a grant or contract with the federal government (or an agency thereof) or a nonprofit or for-profit nongovernmental entity, shall be determined in accordance with the terms of the sponsored grant or contract, or in the absence of such terms, shall be owned by the University. In the case of government supported research, the Bayh-Dole Act and subsequent amendments and federal regulations provide the basis for current University technology transfer practices. Accordingly, while the University is assigned the rights to Intellectual Property generated during the course of federally-sponsored research activities, the government retains the option to claim ownership under certain circumstances. In the event that the government does not exercise its option (the usual circumstance) and regardless of ownership, the government retains a non-exclusive, non-transferable, irrevocable, royalty-free, worldwide license to the Intellectual Property produced under government sponsorship. In those cases in which all patent rights are vested in the University, or in cases in which income is shared

between the sponsor and the University, the Creator will share in income according to the allocation formula set forth herein in Section 8.

6.3 Institutional Works: The Creator of Institutional Works shall exercise no rights in such works and shall receive no proceeds from the licensing, sale, assignment, or use of such works, except as provided by prior written agreement between the Creator and University.

6.4 Tangible Research Property: To the extent allowed by law, where any Tangible Research Property is not within the scope of the claims of a patent, patent application, or copyright, ownership of such Tangible Research Property shall be determined as set forth herein, and the Creator of such Tangible Research Property will share in income according to the allocation schedule set forth in Section 8.

6.5 Individual Efforts: An Invention unrelated to an individual's employment responsibilities that is developed on his or her own time without University support or use of funds, space, facilities, materials, personnel, or other resources administered by the University is not owned by the University. In such cases the University will make no claim for royalties or income from the Invention.

6.6 Disclosure and Assignment: All persons subject to this Policy shall promptly disclose to the University any Invention conceived by them, as well as any part of which that was conceived, researched, developed, produced, or otherwise created or reduced to practice during their time of employment by the University. The only disclosure of any invention shall be made on a disclosure form prescribed by and available from the University, unless otherwise authorized by the University in writing in order to preserve worldwide rights to any such invention. All persons subject to this policy recognize that unauthorized disclosures can create an irreversible loss of rights and revenue and, thus, shall use their best efforts to cooperate with the University to protect all Intellectual Property rights in the Invention, as well as any rights otherwise associated with the invention. All Creators shall execute appropriate assignments and/or other documents as necessary to legalize and enable the proper distribution of ownership and rights to any Invention as set forth herein throughout this Policy.

6.7 University Decisions on Disclosed Inventions: A Patent Committee, appointed by the President and whose membership will represent both faculty and administration, will make recommendations on whether to seek intellectual property protection on disclosed Inventions. This Committee will use commercially reasonable efforts for prompt decisions, consistent with faculty publication and other obligations. The Committee will establish procedures which allow the University to meet time contingencies through the use of provisional applications and other appropriate measures. This Policy recognizes, however, that invention evaluation procedures can be complicated

by a wide variety of factors. The Committee will keep the Creator reasonably informed of the status of the disclosure and shall make recommendations to the University's Board of Directors regarding the appropriate measures to take in regard to protecting the Invention. The Board of Directors' decision will be the final decision on this matter and shall be completed within 9 months after the disclosure is submitted to the University. Should the Board of Directors decide not to pursue patent protection, upon request the University will assign to the Creator the rights to the Invention, subject only to sponsor restrictions. In all cases in which the Invention is assigned to the Creator, the University will retain the rights to a non-exclusive, non-transferable, irrevocable, royalty-free, worldwide license to the Invention for its teaching, research, and service programs.

Trademarks

Trademarks associate a good or a service with the source of the good or service. In most situations, a Trademark identifies an item of Intellectual Property, such as a computer program or a plant variety. In other situations, a Trademark may identify an educational, training, research, service, or public relations program of the University. Regardless, the University owns all rights, title and interests in Trademarks related to an item of Intellectual Property owned by the University such as, for example, a program of education, training, research, service, or public relations of the University. All income from the licensing of a Trademark shall belong to the University.

Distribution of Revenue

8.1 Schedule of Distribution: Except as otherwise provided in this Policy, any revenue received by the University generated through University owned Intellectual Property will be distributed in a manner that recognizes the efforts and contributions of the Creator and as set forth by this Policy. The University will maintain a detailed accounting for all expenditures and receipts associated with the Intellectual Property and will manage the distribution of the revenue ("the annual gross income") as follows:

- (a) 100% of the annual gross income shall go to the University until the University's Costs of Development have been recovered. The "Costs of Development" include costs associated with legal services, and other expenses that include the costs of materials, equipment (an allocated percentage of total cost based on total expected use), and staffing that were incurred during the development of the Intellectual Property.
- (b) after Costs of Development have been recovered, 20% of the annual gross income shall go to the University to ensure a sufficient reserve to pay for ongoing "Costs of Commercialization," such as legal services, government maintenance fees for the Intellectual Property, and other

commercialization efforts that include marketing expenses and insurance and exclude internal technology transfer staff time;

(c) the remaining 80% of the annual gross income shall be defined as annual Net Revenue and distributed annually, paid in its entirety in a single annual payment or structured over the annual period, according to the following tiered distribution system based on total Net Revenue accumulated from year to year by adding all of the annual Net Revenue amounts together:

<u>Total Net Revenue Accumulated From Year To Year</u>	<u>Proportion Of Distribution</u>
First Tier: First \$0 - \$100,000.00	50% to Creator 50% to University
Second Tier: After first \$100,000.00 is distributed in First Tier, next \$150,000.00	25% to Creator 75% to University
Third Tier: After first \$250,000.00 is distributed in First and Second Tiers, next \$250,000.00	15% to Creator 85% to University
Fourth Tier: After first \$500,000.00 is distributed in First, Second, and Third Tiers, the remaining amount	10% to Creator 90% to University;

(d) in the event the University takes equity in a company that is not founded by the Creator, the distribution of the equity will be 25% to the Creator and 75% to the University, and the distribution of shares to the Creator will occur at the same time and at the same share price of the initial distribution of equity to the University; and,

(e) in the event the University elects not to commercialize an Intellectual Property and allows the Creator to commercialize the Intellectual Property, the distribution of revenue will be 75% to the Creator and 25% to the University where the Creator assumes the costs of procuring Intellectual Property and Costs of Commercialization.

8.2 Distribution for Multiple Creators: Multiple Creators may enter into an agreement that reflects an agreed-upon percent contribution of each of the individual Creators to the as-filed application for rights to the Intellectual Property. The lead Creator shall (i) obtain an agreement signed by each Creator and identifying the percent contribution of each Creator to the as-filed application, and (ii) submit the agreement to the University. The agreed-upon percent contribution of each Creator will be used as the revenue distribution formula. If such an agreement is not submitted to the University

within ninety (90) days of the filing date of the Intellectual Property application, the University will determine the revenue distribution formula.

8.3 Right to Change Distribution: The University reserves the right to change the distribution of revenue annually and agrees to provide timely notice of any such change to all persons employed by the University including its faculty, staff, students; and, all persons and entities using the University's funds, space, facilities, materials, personnel, or other resources.

Dispute Resolution

If there is a dispute relating to any matter addressed by this Policy, those persons to whom the Policy applies as described in Section 4 above shall present the dispute to the University's Board of Directors for the Board of Directors' consideration before taking any legal action through the courts or any governmental administrative body.

California Law

This Policy shall be interpreted according to California Law, including but not limited to the provisions of the Labor Code (including, but not by way of limitation, Sections 2860, 2870, 2871, and 2872 thereof) relating to ownership of Inventions, except as otherwise provided in this Policy. Any and all Inventions that relate to the employer's business, research, or development shall be governed by the provisions of this Policy.

Not Assignable

Those persons to whom this Policy applies as described in Section 4 above may not assign or delegate any of their rights, duties, or obligations as set forth in this Policy without the prior written consent of the University's Board of Directors.

Severability

If a court or arbitrator of competent jurisdiction holds any provision of this Policy to be illegal, invalid, or unenforceable, in whole or in part for any reason, the validity and enforceability of the remaining provisions will not be affected, unless an essential purpose of this Policy would be defeated by the loss of the illegal, invalid, or unenforceable provision.

Agreement of the Parties

This Policy is binding on the (1) all persons employed by the University; and (2) all persons and entities using the University's funds, space, facilities, materials, personnel, or other resources. Such persons include, but are not limited to, adjunct faculty, visiting faculty and researchers, and students as a condition for their association with the

University. Such association can include, but is not limited to, teaching, research, and service programs, as well as use of University resources. Furthermore, to avoid any potential for a conflict of interest, members of the University may not enter into an employment, consulting, or collaborative agreement that is in conflict with the policies described herein. Affirmative written notice must be provided to any outside prospective employer or collaborator that the Intellectual Property rights of the University cannot be subordinated to any third party employment, consulting, or collaborative agreement. All persons bound by this Policy must first disclose such employment, consulting agreement, or collaboration to the University and provide copies of any related written agreements to the University before accepting the terms of any such agreement.

STATEMENT OF AGREEMENT:

1. I agree to abide by the terms, conditions, and procedures set forth in this Policy.
2. I will not enter into any agreement creating Intellectual Property, patent, copyright, trademark, or trade secret interests or obligations that is in conflict with this Policy.

Signature

Department

Name (please print)

Date