# Faculty Handbook

Revision Dates: 08/2014, 07/2013, 5/13, 8/12, 8.11, 8.08

Office of the Provost

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## Contents

1. **UNIVERSITY OVERVIEW** .................................................................................................................. 4
   1.1 NAU STRATEGIC PLAN ....................................................................................................................... 4
   1.2 INSTITUTIONAL DESCRIPTION ................................................................................................. 4
   1.3 UNIVERSITY ORGANIZATION ................................................................................................. 4
   1.4 COMMITTEES, COUNCILS, COMMISSIONS AND BOARDS .......................................................... 5
   1.5 ACADEMIC AFFAIRS ....................................................................................................................... 11
      1.5.1 Graduate College ......................................................................................................................... 11
      1.5.2 Office of the Vice Provost for Academic Personnel .............................................................. 12
      1.5.3 Office of the Vice Provost for International Education .......................................................... 12
      1.5.4 Office of the Vice Provost for Academic Affairs ...................................................................... 12
      1.5.6 University College .................................................................................................................... 12
      1.5.7 University Honors Program ...................................................................................................... 12
   1.6 NAU-EXTENDED CAMPUSES ........................................................................................................ 13
      1.6.1 NAU-Yuma Branch Campus ...................................................................................................... 13
      1.6.2 NAU-Yavapai ............................................................................................................................ 13
   1.7 FACULTY ORGANIZATION ............................................................................................................. 13
      1.7.1 Role of the Faculty ...................................................................................................................... 14
      1.7.2 Faculty Senate ............................................................................................................................ 14

2. **SERVICES AND SUPPORT UNITS** .................................................................................................. 15
   2.1 AFFIRMATIVE ACTION .................................................................................................................. 15
   2.2 BOOKSTORE ............................................................................................................................... 16
   2.3 CAMPUS RECREATION SERVICES ........................................................................................... 16
   2.4 CENTER FOR INTERNATIONAL EDUCATION (CIE) ..................................................................... 17
   2.5 CLINE LIBRARY ............................................................................................................................... 17
   2.6 COURSE-LINKED ACADEMIC SUPPORT ................................................................................... 19
   2.7 CURRICULUM, LEARNING DESIGN, AND ACADEMIC ASSESSMENT, OFFICE OF ......... 19
      Articulation with Community Colleges ......................................................................................... 19
   2.8 DINING SERVICES .......................................................................................................................... 20
   2.9 E-LEARNING CENTER .................................................................................................................... 21
   2.10 ENVIRONMENTAL HEALTH & SAFETY .................................................................................... 21
   2.11 FACULTY PROFESSIONAL DEVELOPMENT PROGRAM .......................................................... 21
   2.12 GRANT AND CONTRACT SERVICES .......................................................................................... 21
   2.13 HEALTH AND WELLNESS SERVICES ....................................................................................... 22
      2.13.1 Dental Hygiene ........................................................................................................................ 22
      2.13.2 Employee Assistance and Wellness ....................................................................................... 22
      2.13.3 Campus Health Services ......................................................................................................... 22
      2.13.4 Health Psychology Services ..................................................................................................... 23
      2.13.5 Speech-Language-Hearing Clinic ........................................................................................... 23
Faculty Handbook
Revision Dates: 08/2014, 07/2013, 5/13, 8/12, 8.11, 8.08

Office of the Provost

3. UNIVERSITY POLICIES....................................................................................................... 32

3.1 ACADEMIC AFFAIRS.................................................................................................. 32

3.1.1 Academic Program Reviews and Accreditation Reviews........................................... 33

3.1.2 Academic Standards ............................................................................................. 33

3.1.2.1 Academic Dishonesty - Student Appeal of a Charge of Academic Dishonesty 33

3.1.2.2 Baccalaureate Honors Policy ........................................................................... 33

3.1.2.3 Standard Class Meeting Times ........................................................................ 34

3.1.2.4 Grade Appeal Policy (Undergraduate) ............................................................. 34

3.1.2.5 Grades and Grading ......................................................................................... 34

3.1.3 Change of Grade by Instructor .............................................................................. 35

3.1.3.1 Mid-Term Evaluation of Students .................................................................... 35

3.1.3.2 Student Attendance ....................................................................................... 36

3.1.4 Institutional Excuses ............................................................................................. 36

3.1.4.1 Unregistered Students in Classes ................................................................... 37

3.1.5 Attendance Accommodation .................................................................................. 37

3.1.5.1 Commencement Participation ......................................................................... 37

3.1.5.2 Conditions of Faculty Service (COFS) .......................................................... 37

3.1.5.3 Curriculum ..................................................................................................... 37

3.1.5.4 Academic Planning ......................................................................................... 38

3.1.5.5 Reporting Academic Program Changes to ABOR ........................................ 38

3.1.5.6 Process for Creating Academic Strategic Plans ............................................. 39

3.1.5.7 Academic Catalogs ......................................................................................... 40

3.1.5.8 Course Syllabus Format and Policy Statements .............................................. 40

3.1.5.9 Criteria for Upper/Lower Division Courses .................................................. 40

3.1.5.10 Cross-Listing and Co-Convening ................................................................ 40

3.1.5.11 Diversity and Liberal Studies Requirements ............................................... 40

3.1.5.12 Fees (Course/Program) ................................................................................. 41

3.1.5.13 Graduate Education ...................................................................................... 41

3.1.5.14 Letter Designations on Courses .................................................................... 42

3.1.5.15 Schedule of Classes ..................................................................................... 42

3.1.5.16 Undergraduate Curriculum Components .................................................... 42

3.1.6 Registrar ................................................................................................................ 43

3.1.7 Faculty Authored Textbooks .................................................................................. 43

3.2 ARIZONA BOARD OF REGENTS ............................................................................ 43

3.2.1 Lobbying - ABOR Policy 1-102 ........................................................................... 44

3.2.2 Competition with Outside Enterprise - ABOR Policy 1-105 ................................. 44
<table>
<thead>
<tr>
<th>Section</th>
<th>Topic</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.2.3</td>
<td>Outside Employment - ABOR Policy 6-705</td>
<td>45</td>
</tr>
<tr>
<td>3.2.4</td>
<td>Political Activity - ABOR Policy 6-905</td>
<td>45</td>
</tr>
<tr>
<td>3.3</td>
<td>FINANCE &amp; ADMINISTRATION</td>
<td>45</td>
</tr>
<tr>
<td>3.3.1</td>
<td>Human Resources</td>
<td>45</td>
</tr>
<tr>
<td>3.3.1.1</td>
<td>Affirmative Action</td>
<td>45</td>
</tr>
<tr>
<td>3.3.1.2</td>
<td>Alcohol and Drug Policy</td>
<td>46</td>
</tr>
<tr>
<td>3.3.1.3</td>
<td>Safe Working and Learning Environment</td>
<td>46</td>
</tr>
<tr>
<td>3.3.1.4</td>
<td>Emergency Closure</td>
<td>47</td>
</tr>
<tr>
<td>3.3.2</td>
<td>Financial Services/Comptroller</td>
<td>47</td>
</tr>
<tr>
<td>3.4</td>
<td>INFORMATION TECHNOLOGY SERVICES</td>
<td>47</td>
</tr>
<tr>
<td>3.4.1</td>
<td>Computer Support Policies</td>
<td>47</td>
</tr>
<tr>
<td>3.4.2</td>
<td>Email Usage Policy</td>
<td>48</td>
</tr>
<tr>
<td>3.4.3</td>
<td>Cell Phone Policy</td>
<td>48</td>
</tr>
<tr>
<td>3.4.4</td>
<td>Network Acceptable Use Policy</td>
<td>48</td>
</tr>
<tr>
<td>3.4.5</td>
<td>Security Policy</td>
<td>48</td>
</tr>
<tr>
<td>3.5</td>
<td>RESEARCH</td>
<td>48</td>
</tr>
<tr>
<td>3.5.1</td>
<td>Mission of Research at Northern Arizona University</td>
<td>48</td>
</tr>
<tr>
<td>3.5.2</td>
<td>Resources Available through the Research Division</td>
<td>49</td>
</tr>
<tr>
<td>3.5.3</td>
<td>Research Compliance Services</td>
<td>49</td>
</tr>
<tr>
<td>3.5.4</td>
<td>Misconduct in Research</td>
<td>50</td>
</tr>
<tr>
<td>3.5.5</td>
<td>Intellectual Property and Copyrights</td>
<td>50</td>
</tr>
<tr>
<td>3.6</td>
<td>STUDENT AFFAIRS</td>
<td>51</td>
</tr>
<tr>
<td>4.1</td>
<td>CODE OF ETHICS AND CONDUCT</td>
<td>51</td>
</tr>
<tr>
<td>4.2</td>
<td>FACULTY WORKLOAD</td>
<td>55</td>
</tr>
<tr>
<td>4.2.1</td>
<td>Unit Level Workload Policies</td>
<td>55</td>
</tr>
<tr>
<td>4.2.2</td>
<td>Overload Assignments</td>
<td>56</td>
</tr>
<tr>
<td>4.2.3</td>
<td>Teaching and Student-Related Activity</td>
<td>56</td>
</tr>
<tr>
<td>4.2.3.1</td>
<td>Definition of Teaching and Student Related Activities</td>
<td>57</td>
</tr>
<tr>
<td>4.2.3.2</td>
<td>Guidelines for Workload Policies for Teaching and Student-Related Activities</td>
<td>58</td>
</tr>
<tr>
<td>4.2.4</td>
<td>Scholarly/Creative Activity</td>
<td>59</td>
</tr>
<tr>
<td>4.2.4.1</td>
<td>Definition of Scholarly/Creative Activities</td>
<td>59</td>
</tr>
<tr>
<td>4.2.4.2</td>
<td>Guidelines for Workload Policies for Scholarly/Creative Activities</td>
<td>60</td>
</tr>
<tr>
<td>4.2.5</td>
<td>Service Activity</td>
<td>60</td>
</tr>
<tr>
<td>4.2.5.1</td>
<td>Definition of Service Activities</td>
<td>60</td>
</tr>
<tr>
<td>4.2.5.2</td>
<td>Guidelines for Workload Policies for Service Activities</td>
<td>61</td>
</tr>
<tr>
<td>4.3</td>
<td>FACULTY TEACHING SUMMER AND/OR WINTER SESSIONS</td>
<td>61</td>
</tr>
</tbody>
</table>
1. UNIVERSITY OVERVIEW

Founded in 1899, Northern Arizona University is a vibrant and innovative community committed to teaching as learning, research as innovation, and service as shared leadership.

1.1 NAU Strategic Plan

The mission, goals and values of the institution are outlined in the University’s Strategic Plan (see “Strategic Plan” at http://nau.edu/quicklinks/).

1.2 Institutional Description

Classified by the Carnegie Foundation as a high research doctoral university, Northern Arizona University is a large, comprehensive, doctoral, high undergraduate, primarily residential university with a high level of research activity. The University enrolls over 25,000 undergraduate and graduate students who can earn their degrees on its Flagstaff campus, NAU-Yuma, through NAU-Extended Campuses and online. The University offers baccalaureate, masters, and doctoral degree programs in arts, sciences, and professions, including accredited professional degrees and many certification programs. More than 70 of these are delivered to students at 30+ sites located throughout the state and through Northern Arizona University’s online campus.

1.3 University Organization

Northern Arizona University is governed by the Arizona Board of Regents which consists of the Governor of the State, the State Superintendent of Public Instruction, both ex-officio, and eight resident citizens of the state appointed by the Governor, by and with the consent of the Senate. This Board, acting under the constitution and laws of the State of Arizona, is the governing body of the University. For a listing of the Board’s functions see A.R.S. 15-725.

The University President

As defined by the Arizona Board of Regents, the president shall mean the president of the appropriate university or the president's designated representative, and the Administrative director of the central staff. For an organizational chart, contact the President’s Office.

Extended Campuses

Under the direction of the Senior Vice President of Extended Campuses, the university delivers courses via 30+ locations around the state, primarily on the campuses of, and in partnership with community colleges, online and at the NAU-Yavapai campus.

Academic Affairs

The Academic Affairs division is under the direction of the Provost and Vice President for Academic Affairs, the Chief Academic Officer of the university. The following Academic Officers report to the Provost:

- Vice Provost for Academic Affairs
- Vice Provost for Academic Personnel
1.4 Committees, Councils, Commissions and Boards

The following committees, councils, commissions and boards serve the university in an advisory, policy-making, or hearing role for the continued advancement of the institution.

**Academic Standards Committee**
This is a Faculty Senate Committee that recommends policy with respect to all general and special academic policies, standards, procedures, and scholastic regulations, and continuously re-evaluates such standards and policies to assure that appropriate academic standards prevail. The committee also hears and acts on requests from students regarding waiver of any university policies. The Academic Standards Committee recommends policy with respect to all general and special policies, standards, and procedures concerning admissions and scholastic regulations, and continuously re-evaluates such standards and policies to assure that high academic standards prevail.

**Administrative Computing (Steering Committee for)**
The steering committee reports to the president. It focuses on all aspects of administrative computing and information technology relating to NAU's student, employee, and financial administrative applications and systems.

**Admissions Review Committee**
This committee reviews the application materials of students who do not meet the undergraduate admissions standards as established by the Arizona Board of Regents. The committee also may request additional documents for review and then will makes decisions regarding admission to the University.

**Animal Care and Use Committee (Institutional)**
The Northern Arizona University Institutional Animal Care and Use Committee (IACUC) oversees and routinely evaluates the institution’s animal care and use program. The NAU IACUC follows federal regulations to establish institutional policies for the care and use of laboratory animals. The NAU animal care and use program is fully accredited by the Association for the Assessment and Accreditation of Laboratory Animal Care International (AAALAC). Regulations observed include those set forth in the United States Department of Agriculture’s (USDA) Animal Welfare Act and Animal Welfare Regulations (AWA), Public Health Services (PHS) Policy on the Humane Care and Use of Laboratory Animals, the Guide for the Care and Use of Laboratory Animals (the Guide), the Office of Laboratory Animal Welfare (OLAW), the Occupational Safety and
Health Administration (OSHA) and the Environmental Protection Agency (EPA) regulations among others.

The NAU Policy on the humane care and use of animals was formulated to reflect the university’s commitment to the humane care and use of animals and compliance with applicable regulations. The university policy extends the provisions of PHS policy, the Guide and the AWA to the use of all vertebrate animal species in research and teaching. The IACUC oversees compliance with this policy and uses the following methods to ensure compliance:

- Semi-annual review of the NAU animal care and use program;
- Semi-annual inspection of animal care and use facilities;
- Oversight of training and educational programs;
- Making recommendations to the Institutional Official (IO) regarding any aspect of the animal program, facilities, or personnel training;
- Reviewing and approving, requiring modifications in, or withholding approval of proposed and ongoing protocols using live vertebrate animals in research or teaching;
- Implementing the use of the 3R’s (Reduction, Refinement, Replacement) in the use of vertebrate animals for research or teaching.

The actions stated above support research and teaching activities by:

1. Assuring investigators, educators, granting agencies, and the public of a sincere and methodical review of the humane care and use of vertebrate animals in research and teaching at NAU.
2. Facilitating involvement of the Attending Veterinarian (AV) and other scientists in application of new experimental animal procedures and problem solving as they relate to the NAU animal program.

Assessment (University)
This is a Faculty Senate committee that determines how the assessment of educational (student learning) outcomes can strengthen the University and enhance its accountability. The committee provides the University-wide perspective on student assessment as carried out in undergraduate and graduate degree programs delivered both on and off campus. The committee provides oversight, identifies key issues, develops recommendations, and develops policies with respect to institution-wide assessment of student learning. It also identifies gaps in assessment information; recommends changes in assessment processes; reviews the usefulness of assessment strategies, reporting strategies and feedback processes; and ensures that assessment data informs decision-making at NAU. The committee maintains close communications with the Faculty Senate, the Office of Academic Assessment, and other appropriate NAU committees, administrative bodies, and academic units.

Biosafety Committee (Institutional)
Research and instructional activities involving recombinant DNA or synthetic nucleic acid molecules, biological agents (viruses, bacteria, fungi, rickettsia, prions), acute toxins and transgenic animals must be reviewed and approved by the Northern Arizona University Institutional Biosafety Committee (IBC) prior to
initiation. The IBC's primary objective is to safeguard personnel, the general public, and the environment and to ensure compliance with federal guidelines promulgated by the National Institutes of Health (NIH), Centers for Disease Control and Prevention (CDC) and the Public Health Service. The Director of Biological Safety can provide guidance and serves as the secretary for the NAU IBC. The registration forms for the IBC are located online (see “Regulatory Compliance” at http://nau.edu/quicklinks/).

**Campus Health Services Advisory Committee**
The Campus Health Services Advisory Committee is composed of internal and external partners that collaborate and provide recommendations on issues relating to providing health care and illness prevention to the NAU community.

**College Academic Integrity Hearing Board**
The College Academic Integrity Hearing Boards review cases involving the violation of academic integrity as defined in the University Catalog. Each college in the University shall establish its own Academic Integrity Hearing Board consisting of a chairperson, five faculty members elected for three-year terms, five students appointed to serve 1-2 years, and two record keepers. Not all members of the Hearing Board will serve on all hearings.

**Curriculum Committee (University)**
This is a Faculty Senate committee that maintains standards, policies and procedures that will ensure that university undergraduate curriculum and all regulations pertaining thereto comply with the stated mission and goals of the university. The UCC coordinates all undergraduate curricula to assure academic integrity and to prevent unnecessary course proliferation. The UCC reviews, evaluates, and recommends to the provost, approval or disapproval of all new undergraduate courses, programs, and degrees, and proposed changes in existing courses, programs and degrees. New programs and major programmatic reviews are subject to the approval of the president, provost and the Arizona Board of Regents.

**Disability, Access and Design (Commission on)**
The Commission on Disability Access and Design’s vision is a university community free from physical and attitudinal barriers to services, programs and activities through Universal Design. CDAD works with the university community to create a welcoming, supportive and inclusive university environment. The commission supports and reaffirms NAU's stated commitment to affirmative action and diversity.

**Emergency Management Advisory Group**
The mission of NAU Emergency Management Advisory Group (EMAG) is to mitigate, prepare for, respond to and recover from disasters and emergencies that occur both on campus as well as those that occur off campus that may impact the university. Specifically, the EMAG shall identify potential hazards and vulnerabilities affecting NAU; recommend policy to university leadership; prepare, keep current and distribute campus emergency response information and plans; coordinate resources before, during and after an emergency; coordinate emergency management with university departments, and with local, state, and federal agencies with focus on warnings, communication, planning, training, education, and disaster exercising.
Employee Benefits Committee (University)
The Benefits Committee is a comprehensive group of participants and administrators of NAU’s Blue Cross Blue Shield PPO plan whose primary purpose is to provide recommendations during the annual renewal process to help ensure the plan’s continued viability. Committee members should be representative of all benefit eligible categories of employees and retirees as well as offices having responsibility for any portion of the plan’s administration. The committee shall meet regularly during the renewal process to examine plan performance, pertinent legislative changes, market conditions and budgetary considerations prior to finalizing recommendations. The committee may also be asked to weigh in on other benefit programs, policies and procedures.

Ethnic Diversity (Commission on)
The Commission on Ethnic Diversity is a university-wide committee that draws on the knowledge of members committed to a multicultural, diverse educational environment. The committee works to increase ethnic diversity among the student population, faculty, staff, and administration and is committed to diversifying the curriculum and to preparing our students for a global work environment. The committee helps our campus create an enriched learning and working environment where we share and learn from one another.

Faculty Grants Program (FGP) Committee
This is a Faculty Senate committee that reviews proposals submitted by Faculty for Organized Research funding. This activity takes place during the winter break each year, and involves evaluation of proposals during an approximately one-month period. The final step in this review is a panel meeting where the committee discusses proposals and assists in making decisions on funding. The committee may be asked to provide input into research policy at NAU.

Faculty Grievance Committee
This is a Faculty Senate committee charged with reviewing allegations and requests for hearings to determine whether the matter is grievable and for hearing all grievances or appeals as outlined in the grievance hearing process (see the Conditions of Faculty Service, Appendix A, Faculty Problem Resolution).

Graduate Committee (University)
The University Graduate Committee is a Faculty Senate committee which is charged with establishing and maintaining standards, policies, and procedures to ensure University graduate curricula and all polices pertaining to graduate education comply with the stated mission and goals of Northern Arizona University. The UGC accomplishes this purpose by: (a) articulating objectives for graduate study and establishing and maintaining proper graduate standards and policies for graduate programs and graduate assistants, consistent with university objectives; (b) coordinating all graduate programs and curricula to prevent undue course proliferation; (c) studying and recommending means for improving graduate programs; and considering new and revised graduate programs; (d) establishing and maintaining standards and policies in such matters as but not limited to admission to graduate study, admission to candidacy, examination requirements, transfer credits and approval of graduate courses, programs and degrees; (e) serving as the graduate curriculum committee for new courses, course changes and deletions, new programs and
program revisions; and (f) representing the Dean of the Graduate College at dissertation defenses.

Hearing Board (University)
The university Hearing Board is designed for student hearings related to student disciplinary sanctions of expulsion and/or suspension from the university. This committee convenes only after a student has formally requested a hearing following a decision of suspension and/or expulsion.

Housing and Residence Life Advisory Committee
The Housing and Residence Life Advisory Committee exists as a formal sounding board for current issues, major policy review and budgetary review and recommendation for the Office of Residence Life. The council is advisory in nature and the responsibility for final decisions and implementation rests with administration.

The council provides input and a formal recommendation regarding the locally funded rate structure for single student and family housing for the following academic year. This includes reviewing plans for renovation of existing facilities, as well as other facility improvements. The council also provides guidance for major policy and procedural changes impacting service to students, and provides feedback regarding committee members’ experiences and perceptions of the service and image provided.

Intercollegiate Athletics Committee
This is a Faculty Senate committee charged to act in an advisory capacity to the director of Athletics on the operations of the Department of Athletics. The committee is ultimately responsible to the president of the university. For additional information, contact the Faculty Athletic Representative.

LGBTQIA Commission
The Commission works to broaden the university community’s understanding and appreciation of Lesbian, Gay, Bisexual, Transgender, Queer, Intersex, Ally (LGBTQIA) diversity and to foster respect and appreciation for each member of the Northern Arizona University community. The commission is open to all current university employees and students who agree with these objectives. (see “LGBTQIA” at http://nau.edu/quicklinks/).

Liberal Studies Committee
This is a Faculty Senate committee charged to work with the Office of the Vice Provost for Academic Affairs to lead and manage the Liberal Studies Program. This program is to be carried out through a curriculum of studies required of all graduates of the University, and is designed to support the development of the essential knowledge and skills for engaged global citizenship in the 21st century. Specifically, the Liberal Studies Committee will establish, review, approve, and/or recommend to the appropriate body approval of the following:

- The mission and purpose of liberal studies at NAU;
- The educational goals and objectives of the liberal studies programs;
- The educational goals and objectives, and methods of assessment of the outcomes of the courses approved for the liberal studies curriculum;
• Policies governing the standards for the liberal studies curriculum, recommendation of courses for inclusion, and approval of changes in the overall curriculum and/or courses in the liberal studies curriculum;
• Assessment and improvement of student learning;
• Strategic planning regarding the role and function of the Liberal Studies program at Northern Arizona University;
• Faculty engagement and support for teaching Liberal Studies.

Library Committee (University)
This is a Faculty Senate committee which:
1. Develops, recommends, and reviews policies within the framework of the curricular objectives of the University for the selection and purchase of library materials.
2. Represents the interests of the library, students, and faculty in consideration of library policies.
3. Studies and recommends means to optimize use of library resources.
4. Maintains a strong interface with library personnel.

Native Americans (Commission for)
The Commission is to consider, evaluate and analyze all matters pertaining to Native Americans at Northern Arizona University, establish goals and priorities for these matters, engage Native American faculty/staff/students on these matters, disseminate and share the information, and most importantly advise the president on these matters.

Parking Citation Appeals Board
The purpose of the appeals board is to provide a second level of review for those members of the university community who have made an unsuccessful appeal of parking citation to the Parking Appeals Officer.

Parking and Shuttle Advisory Committee
The charge of the Parking and Shuttle Advisory Committee is to assess, address and recommend current and future campus parking and shuttle needs or concerns. The Advisory committee makes provisions to assure user input in the development and direction of the campus parking and shuttle system. The Committee promotes an approach compatible with the philosophy, goals and objectives of the university and those that best serve the interest of the campus community.

Radiation Safety Committee
The committee ensures that ionizing and non-ionizing radiation producing materials and equipment are properly registered and used in a manner that minimizes radiation hazards and that the research and teaching activities involving the use of radiation comply with state, federal, and university standards.

Residency Appeals Committee (University)
Students who are classified as nonresident for tuition purposes by the university classification officer have the right to appeal that decision and to request a review by the University Residency Appeals Committee. The committee meets to review the existing student residency file, consider testimony from the student and/or an advisor of the student's choice, and review new information or documentation provided and to render a decision, which is final.
Status of Women (Commission on the)
The Commission acts as a research entity that examines issues and concerns pertaining to women on campus. The CSW provides informed recommendations to the President to ensure a campus environment in which the full participation of women is supported and the contributions of women are valued.

Undergraduate Academic Continuation Committee (UACC)
The Undergraduate Academic Continuation Committee offers a clear and fair procedure for returning to NAU after academic suspension. The committee meets to review appeals six weeks before the fall, spring, and summer term. Any student filing an appeal may do so based on coursework from an alternate institution, extenuating circumstances, or academic renewal.

1.5 Academic Affairs
Academic Affairs consists of the following six discipline-based colleges, together with the University Honors Program, Graduate College, University College (UC), the Center for International Education, Cline Library, and the Office of the Registrar.

College of Arts & Letters
The W.A. Franke College of Business
College of Education
College of Engineering, Forestry and Natural Sciences
College of Health & Human Services
College of Social & Behavioral Sciences

In 2013-2014 an Academic Planning Framework was developed to assist units in key, planning exercises. The strategic planning in Academic Affairs is aimed to align with NAU's overall strategic plan (see “Strategic Plan” at http://nau.edu/quicklinks/).

The following subsections describe the administrative offices that report to the Provost and Vice President for Academic Affairs.

1.5.1 Graduate College
The Graduate College is committed to supporting and advancing outstanding graduate and professional programs on the Flagstaff Campus and through Extended Campuses of Northern Arizona University. Consistent with the institution's mission, their purpose is to promote student achievement, research, scholarship, global learning, strategic partnerships, and engagement in discovery and practice.
Office of the Provost

1.5.2 Office of the Vice Provost for Academic Personnel
The Vice Provost for Academic Personnel provides oversight for all policies and procedures related to faculty and academic professionals, as well as the Faculty Development Program and the Faculty Ombuds Program (ref. Sec. 2.18). New Faculty/Academic Professionals will find new hire checklists and important information concerning payroll, benefits and the steps required to transition to the university online (see “Human Resources” at http://nau.edu/quicklinks/).

1.5.3 Office of the Vice Provost for International Education
The Office of the Vice Provost for International Education directs the Center for International Education and provides strategic leadership for the realization of the university's commitments around campus and curriculum internationalization. The Center provides direct support to all faculty who wish to pursue international teaching and research opportunities. The Center also works with departments as they seek to implement the Global Learning Initiative in their respective majors.

1.5.4 Office of the Vice Provost for Academic Affairs
The Vice Provost for Academic Affairs provides support for academic programs throughout the university. The vice provost oversees curriculum, academic program review, institutional accreditation, learning design and assessment, eLearning, course schedule planning, summer sessions, articulation & transfer, registrar, and commencement. The office is also home to the Professional Education Programs consisting of undergraduate and graduate programs across four colleges that prepare teachers and school administrators, counselors, psychologists, and speech therapists. Undergraduate education is a special focus of the office, which sponsors programs and initiatives designed to help students succeed and achieve their goals.

1.5.6 University College
The University College (UC) promotes an enhanced undergraduate learning experience for students. UC offers a challenging and supportive environment to enable a successful transition to the university, a solid foundation for continued academic success, and progress toward graduation. Undergraduate students are automatically a part of University College when admitted to Northern Arizona University. University College also promotes achievement through a full range of services and programs (ref. sections 2.24.4 and 2.26).

1.5.7 University Honors Program
The University Honors Program prepares academically motivated students for a global and changing society by cultivating creative problem solving abilities and communication skills through a rigorous, personalized program of study. The Honors Program community of scholars values excellence, inquiry, innovation, fellowship, and distinction by promoting:

- The highest standards of academic integrity and excellence across campus
- Meaningful, innovative, interdisciplinary connections
- Leadership, research, community engagement, service learning, creative endeavors, international education, and the exploration of diversity
• A stimulating residential environment
• The integration of academics, learning communities, mentoring, and extra-curricular learning

1.6 NAU-Extended Campuses

The Extended Campuses of Northern Arizona University serves more than 30 communities in Arizona with online and in-person education and a growing number of joint admission agreements with community colleges in Maricopa, Yavapai, Mohave, Gila and La Paz Counties. NAU has been a leader in distance learning delivery since the 1970s. Graduate degrees and undergraduate degrees are available to students through online, hybrid, and in-person delivery formats. About 35 percent of NAU students earn their degrees online or in local communities in Arizona.

Many university faculty members are appointed to one of the Extended Campuses locations. These faculty members are appointed to academic departments on the Flagstaff Mountain Campus or the Yuma Branch Campus and have teaching assignments at Extended Campus locations and online.

The faculty advise prospective and current students, recruit, mentor and evaluate NAU part-time instructors, collaborate with local community college faculty and academic leaders to develop degree programs and teach local classes.

1.6.1 NAU-Yuma Branch Campus

Recognition of the educational needs of the Lower Colorado River Region prompted NAU to enter into an agreement with Arizona Western College in 1988 to create NAU-Yuma. This program made it possible for qualified students to receive select undergraduate or graduate degrees on site in Yuma from NAU. Recognizing the success of this partnership, the Arizona Board of Regents unanimously approved designation of NAU branch campus status to the Yuma campus in 2006. The designation allows NAU to build programming and resources on the Yuma campus in response to needs of the growing local area communities. NAU-Yuma administers more than 10 degree programs available to Yuma and statewide students.

1.6.2 NAU-Yavapai

NAU-Yavapai is a unique model in higher education in Arizona. With bachelor’s degrees and certificates in academic programs not otherwise available through NAU, and in partnership with Yavapai College and the Town of Prescott Valley, NAU-Yavapai offers an affordable tuition, small class sizes, and reduced time of completion to the degree. Courses are offered on a year-round calendar and in a format blending classroom instruction with online and applied learning components.

1.7 Faculty Organization

As defined by the Conditions of Faculty Service (COFS) the Faculty shall consist of employees of the University who hold one of the following ranks (ref. “Conditions of Faculty Service,” section 1.2 at http://nau.edu/quicklinks/):

• Professor
Office of the Provost

- Associate professor
- Assistant professor
- Lecturer
- Senior lecturer
- Principal lecturer
- Assistant clinical professor
- Associate clinical professor
- Clinical professor
- Assistant professor of practice
- Associate professor of practice
- Professor of practice
- Research professor
- Assistant research professor
- Associate research professor
- Instructor
- Academic professionals (librarians)
- Part-time faculty teaching a minimum of 12 credit hours of course work in each of the three preceding years, clinical and practice faculty meeting these ranks or teaching requirements
- Adjunct Affiliates

1.7.1 Role of the Faculty
As the most durable and stable of the constituencies immediately involved with the operation of the institution, the Faculty is the primary trustee of academic freedom and other traditional values of the University. The power to initiate, review, formulate, recommend enactment of, and oversee policy and procedures in the areas identified in the Constitution of the Faculty, Section 1.2.1 (see “Faculty Senate” at http://nau.edu/quicklinks/) rests with the Faculty. These powers and duties must be exercised in accordance with the laws and constitutions of the United States and Arizona, the Arizona Board of Regents, and the policies of Northern Arizona University.

1.7.2 Faculty Senate
Purpose: The General Faculty shall exercise its powers through the Faculty Senate of the University, hereinafter referred to as “the Senate.” The Senate is the highest legislative, representative assembly of the Faculty and is subject to its review.

Membership. The Senate consists of members elected from and by the Faculty and the Officers of the Faculty Senate as specified in the Constitution of the Faculty, Section 2.1.

Relationship to the Faculty. The Senate provides a forum for free discussion, decision-making, and independent statements of Faculty concerns and judgment. It is also the main vehicle through which the Faculty discharges its role in shared governance at the University, within the scope of its authority as established by Arizona law and the policies of the Arizona Board of Regents. Whenever the Senate is acting within its province as herein designated, its actions shall be effective without further approval by the Faculty. Its actions shall be subject to appeal and review by the Faculty in accordance with the Constitution of the Faculty, Section 1.6 and the relevant sections of the Bylaws.
Consideration of Issues. The General Faculty shall consider such policy matters as are brought before it by the Senate. Faculty may bring issues of concern to the Senate through their representatives or by a petition signed by twenty-five (25) faculty members as defined in the Constitution of the Faculty, Section 4.2.

Role of the Faculty Senate: The Faculty Senate normally functions as the forum for faculty deliberation and consent in the introduction, approval, or revision of all academic policy in any matter concerning the governance structures it sponsors directly, in the form of Faculty Senate committees or in the university committees it oversees, including those defined by the Conditions of Faculty Service.

Governance Responsibilities. The Faculty Senate must approve any new policies, changes, amendments, or additions to University governance structures or committees described in the Faculty Handbook in any area affecting:

- policy where the faculty exercise primary responsibility, including undergraduate and graduate curriculum, program design or academic and research policies;
- policy where faculty exercise shared governance in matters related to university mission or internal governance; and
- policy where faculty exercise shared governance, including hiring, promotion, annual review, retention, grievance, long-range planning and budgeting, or University organization.

To these ends, the Senate:
- formulates, recommends, and oversees policies and procedures related to faculty rights and responsibilities;
- carries out binding votes on issues related to curriculum and climate put to it by faculty committees;
- establishes appropriate standing committees and ad hoc committees as necessary to perform its functions in the broad areas enumerated in the Constitution of the Faculty, Section 3.2.1;
- advises the administration and the Arizona Board of Regents to provide them with its collective wisdom and experience;
- promotes communication between faculty, administration, staff, and students of the University.

Procedures. All procedural decisions, guidelines and clarifying statements necessary for the Senate’s internal organization and functions shall be described in the “Bylaws of the Faculty” (From the Constitution of the Faculty).

2. SERVICES AND SUPPORT UNITS

This section contains information on university services and support units that may be of interest to faculty.

2.1 Affirmative Action

As a federal contractor, the university has affirmative action programs for women, minorities, individuals with disabilities and certain veterans. The Office of Affirmative Action and Equal Opportunity (AA/EO) provides services and training...
to the university community in the areas of affirmative action planning and reporting, the faculty and academic professional hiring process, harassment and discrimination prevention and complaint investigation in accordance with the Safe Working and Learning Environment Policy (SWALE), university compliance with laws relating to individuals with disabilities and veterans, accessibility issues, and disability and workplace accommodations. The office provides informal and formal consultations, guidance and complaint resolution options. AA/EO also provides training and education to the NAU community to enhance appreciation of the benefits of diversity, and supports the university's mission and goals in this regard.

The Director of AA/EO also serves as the institution's designated compliance officer for civil rights and affirmative action, ADA/504 Coordinator and Title IX Coordinator. For additional information see “Affirmative Action” at http://nau.edu/quicklinks/).

2.2 Bookstore

The bookstore offers a wide variety of products and services including a large collection of NAU faculty published works and the only authorized Apple® sales and service center in northern Arizona. The following benefits and services are available to NAU employees with an NAU ID card:

- Discounts on regularly priced general books and textbooks;
- Discounts on clothing, gifts, and supplies;
- Publisher contact information for desk copy assistance to faculty or departments;
- Special orders for customized products ranging from pencils to pennants (call and ask for quotes or refer to the Bookstore web site);
- Academically priced software and computer products;
- Assistance with literary events through the Tradebook department;
- Textbook adoptions (see schedule below) are available through the online eDoption system;
- Course packs - compiling and publishing of customized course materials can be arranged through the text manager.

**Textbook Adoptions**

Faculty members are expected to submit book orders with the NAU bookstore to meet the following deadlines for each session:

- Summer: March 15th
- Fall: April 15th
- Winter and Spring: October 15th

**NOTE:** Adoptions are needed for all online or Mountain Campus classes.

Stay up-to-date on bookstore news and events through Facebook.

2.3 Campus Recreation Services

Staying active, committing to living healthy and having fun is stress-free with Campus Recreation, conveniently located on north campus in the Health and
Learning Center, Building 25, South San Francisco Street. Campus Recreation offers diverse recreational and experiential activities, innovative programs and state of the art facilities for our campus community. Explore and discover through the Recreation Center, the Wall Aquatic Center, Intramural or Club Sports, Outdoor Adventures, Climbing Wall, Challenge Course, Fitness, Summer Youth Programs, Observatory Fields and the South Fields Complex.

The Recreation Center provides versatility to meet current trends for staying active. Universal equipment supports a variety of training formats including functional, circuit and strength; an assortment of cardio-fitness equipment throughout the facility compliments the strength training line. The facility also boasts a multi-projection cardio theater; an indoor 1/10 mile jogging track; a 40’ simulated rock climbing wall; two gymnasiums designed for activities such as basketball, volleyball, indoor soccer, and badminton; six glassed backed racquetball courts, two group exercise suites, with over 70 fitness classes to choose from; a multi-purpose gym, and full service locker rooms.

The Wall Aquatic Center offers an Olympic-size pool, complete with eight 50-meter lanes, two 1-meter and two 3-meter diving boards, underwater viewing and filming window. There is also an instruction/therapy shallow area, a weight room, classroom and diverse programming options including lap swim, aqua jog and open swim. Instructional classes include, kayaking, scuba, and learn to swim.

### 2.4 Center for International Education (CIE)

The Center for International Education is charged with providing leadership in the development and execution of the university’s strategic plan for the internationalization of the campus and the curriculum. In this regard, the CIE provides direct support to colleges, schools, departments and other university programs in strengthening the academic infrastructure for international education, in supporting faculty development opportunities through international teaching and research and by developing and nurturing relationships with partner universities and organizations overseas.

The Center provides services to international students and visiting scholars, manages the recruitment and admission of international students, and provides extensive support to NAU students seeking study abroad opportunities. The Center for International Education sees its mission as working to prepare NAU graduates for global citizenship.

### 2.5 Cline Library

In an age characterized by rapid changes in scholarly communications, the Cline Library welcomes the challenge of meeting the teaching, learning, and research needs of the students, faculty and staff. Cline Library staff can assist with electronic reserves for print or media resources, identify resources for course integration or faculty research, and partner with faculty to develop research assignments and assessments aligned with course and program learning outcomes. The library staff also collaborates with faculty on development of data management plans, library-related elements of grant proposals, and other activities that support research and scholarly activities. The library’s website is a gateway to resources and services including e-books, e-journals, media, print collections, document delivery and the Colorado Plateau Digital Archives.
library building offers wireless connectivity, assistive technologies, the Studios with multimedia production iMacs, viewing studios, and more. The Library also houses a 400-seat Assembly Hall, a 70-seat technology classroom, and the Scholar's Corner Café.
2.6 Course-Linked Academic Support

The Course-Linked Academic Support program promotes coordinated efforts among academic units, faculty and students by linking academic support programs to courses to increase student success through supplemental instruction (SI).

The SI model is an internationally used model of academic support that has demonstrated success for over thirty years. Students that participate in SI earn higher grades and are less likely to earn a D, F or W in a course, and have higher rates of retention. Supplemental instruction deploys undergraduate students with prior success in the targeted courses as SI Leaders, who facilitate group learning activities. SI Leaders undergo training in providing content knowledge and study skills to other students in the course, and they attend all formal course presentations by the professor. Leaders also meet with the professor in charge of the course on a weekly basis to discuss strategies for student support. SI sessions are provided to students on a voluntary basis 3-4 times a week.

Other course linked academic support programs are offered in mathematics (MAP - Math Achievement Program) and other areas with distinctive needs. Course-Linked Academic Support collaborates with faculty to develop effective models of academic support and identify resources to support these efforts. Faculty members are encouraged to bring suggestions for increasing student success to the Director of Course-Linked Academic Support or the student learning centers. For additional information see “University College” at http://nau.edu/quicklinks/.

2.7 Curriculum, Learning Design, and Academic Assessment, Office of

The mission of the Office of Curriculum, Learning Design, and Academic Assessment (OCLDAA) is to collaborate with faculty to advance intentional curriculum, strategic learning design and meaningful assessment. The office provides tailored consultations, assistance, and support for the enrichment of student learning and academic excellence at Northern Arizona University. We aspire to create a motivating, fulfilling culture of continual improvement and innovation.

Articulation with Community Colleges

NAU is part of a statewide transfer system that includes all state-supported universities, community colleges and tribal institutions in Arizona. The transfer system is directed by the AZTransfer Steering Committee, an organization of academic leaders who support successful transfer of credits and degree completion for Arizona students.

- ATF (Articulation Task Force) Members – Higher Education faculty across the state participate in discipline-specific ATF groups to promote the goal of seamless transfer for students. They meet to help facilitate the implementation of the Arizona Transfer Model to ensure that community and tribal students may transfer to Arizona public universities without loss of credit toward a baccalaureate degree. Faculty work collaboratively to discuss course content,
curricular changes, transfer trends and to create partnership agreements specific to their discipline.

- ACETS (Arizona Course Equivalency Tracking System) – is a database where discipline-specific faculty evaluates how courses from various Arizona community colleges will be accepted for transfer credit at NAU. After faculty enter their transfer recommendations into the ACETS database, the decisions are posted in the Arizona Course Equivalency Guide for transfer students, advisors and Admissions offices to use across Arizona.

For additional information on articulation see “Transfer Articulation” at http://nau.edu/quicklinks/.

2.8 Dining Services

With more than 28 restaurants and dining locations spread across campus, Dining Services offers a variety of delicious foods whether you’re looking for a full meal, or just a quick snack “to go”. The Hot Spot (in the University Union) and the DuB (in the du Bois Center) provide several different platforms featuring exhibition cooking, fresh, healthy, delicious foods as well as more indulgent options. Vegan, vegetarian and “mindful” items are indicated on menus available on-site and online, as well as full nutritional information and allergens listings.

Twenty-six (26) retail dining locations, including national brands such as Starbucks, Einstein’s Bagels, Star Ginger and more, provide an array of menu offerings from bagels and coffee, smoothies, to burritos, pizza, burgers, salads, sandwiches and international cuisine. Campus Dining’s mobile app makes it easy to find locations, hours of operation, menus, nutritional information, and will even sort for special dietary options such as gluten-free.

Faculty and staff can take advantage of the wide variety of offerings using Dining Dollars, Jacks Debit Express, cash or credit. Faculty and Staff Dining Plans may be purchased using payroll deduction as well. These plans offer dining dollars to be used at your discretion, and FREE bonus meals in the Hot Spot and the DuB. Dining Plans available include:

- $150 Dining Dollars, plus 10 FREE bonus meals at Hot Spot or the DuB
- $100 Dining Dollars, plus 5 FREE bonus meals at Hot Spot or the DuB
- $50 Dining Dollars, plus 3 FREE bonus meals at Hot Spot or the DuB

To take advantage of the Faculty and Staff Dining plans, contact the Campus Dining Meal Plan Office in the University Union, either in person, or by phone at (928) 523-2372. Catering services include “no frills” customer pick-up options as well as full-service elegant meals. More information about dining and catering can be found online at “dining” http://nau.edu/quicklinks/.
2.9 E-Learning Center
The e-learning Center (ELC) is dedicated to assisting faculty to effectively use information technology to transform teaching and learning. The e-Learning mission is to engage all faculty and to support teaching and learning activities mediated through technology. Support and assistance is available for all faculty (full-time and part-time) and all courses (e.g., online, hybrid, or face-to-face instruction). As an academic support unit, ELC collaborates with faculty to research innovative applications of advanced technology in the learning process coupled with assessment of the actual learning students experience. Services provided include phone and walk-in technical help, training, Blackboard course shell development and finding or creating appropriate media and course materials to encourage student engagement. (see “E-Learning” at http://nau.edu/quicklinks/)

2.10 Environmental Health & Safety
The Environmental Health & Safety department (EH&S), is responsible for managing NAU’s chemical, radiological, biological, environmental and loss prevention programs. EH&S is a resource for safety programs and manuals, group training (OSHA required training), hazard evaluation, compliance assessment and hazardous materials shipping. EH&S staff can provide consultation in areas of safety and industrial hygiene, including, but not limited to, biological safety, blood borne pathogens, recombinant DNA, ergonomics, indoor air quality, lab safety, radiation, chemical safety, asbestos, accident prevention, respiratory protection, hearing conservation, hazardous and biological waste, import/export controls, dangerous goods shipping and environmental programs.

2.11 Faculty Professional Development Program
The Faculty Professional Development Program (FPDP) at Northern Arizona University is a multifaceted resource and networking program for faculty. The program supports innovation in teaching aimed at student success and supports interdisciplinary collaboration and collegiality among faculty seeking to strengthen their teaching. The FPDP offers opportunities for professional development in teaching and in the scholarship of teaching and learning. It works with faculty to advance effective teaching and learning initiatives through mentoring programs and orientation programs for new faculty. In addition, the program fosters dialogue on effective teaching for successful student learning and showcases faculty expertise in and contributions to a learning-centered campus.

2.12 Grant and Contract Services
NAU’s pre-award and non-financial post-award research endeavors are supported by the Office of Grant and Contract Services (OCGS), which facilitates sponsored projects and other programs between the University community and external sponsors. OCGS is responsible for assisting principal investigators in identifying and responding to funding opportunities; reviewing and assuring compliance with sponsor and university requirements (including fiscal and non-fiscal compliance); submitting applications and proposals on behalf of the University; supporting large interdisciplinary, multidisciplinary and/or multi-institutional collaborations; interpreting the regulations of state and federal agencies and private sponsors; and, clarifying University policies and procedures
for faculty and sponsors. OGCS is also responsible for accepting awards and has the responsibility to negotiate awards that protect the rights of faculty, staff, and students to use, publish and otherwise disseminate the results of their creative activities, and that comply with university and sponsor laws, regulations, and policies, including those of the state and federal government. Post-award financial accounting services are provided by Sponsored Projects Services. (see “Grant and Contract Services” at http://nau.edu/quicklinks/).

2.13 Health and Wellness Services

The following university units provide health and wellness services that are described further in the sections that follow:

- Dental Hygiene
- Employee Assistance and Wellness Office
- Campus Health Services
- Health Psychology Services
- Speech and Hearing Clinic

2.13.1 Dental Hygiene

The NAU Dental Hygiene Clinic provides comprehensive dental hygiene and preventive dental services for NAU faculty, employees, students, and the public. Students perform services such as dental and periodontal exams, oral cancer screenings, risk assessments, x-rays, thorough cleanings and non-surgical periodontal therapy, sealants and fluoride applications. Licensed dental hygiene and dental faculty supervise students. The fees for services are lower than customary dental services. The NAU Dental Hygiene Clinic is open Tuesday through Friday with Wednesday evening appointments available.

2.13.2 Employee Assistance and Wellness

The Employee Assistance and Wellness (EAW) office is designed to assist faculty, staff, and their family members with personal and professional issues, life and work balance, and to enhance overall health and wellness. EAW services include: short-term counseling, consultation, conflict management, critical response services, referral information, customized workshops for departments and groups, the Wellness Workshop Series, the Wellness at Work Health Screenings and Flu Vaccine Program and the HealthyU Wellness Incentives Program. EAW services are confidential. Employees and their family members can make appointments directly.

2.13.3 Campus Health Services

Campus Health Services (CHS) is located in the Health and Learning Center, building #25. CHS is an outpatient health center staffed by physicians, nurse practitioners, health educators, and other health care professionals. CHS offers care for chronic health problems and same-day service for acute illnesses or injuries, and provides services for healthy lifestyle education and promotion. Lab, x-ray, and pharmacy services are available on site. Faculty and staff have access to health care services at CHS. All students who have paid the semester health fee are eligible to obtain health care at CHS. There are fees for services rendered. Insurance is not required to access care; however, Campus Health Services accepts Blue Cross/Blue Shield insurance plans for faculty and staff.
and also offers an optional student insurance plan. International students are required to show proof of insurance.

CHS patients may be referred to specialists in the community for consultation when a health center provider considers it advisable. Fees for these services are the responsibility of the patient.

Campus Health Services does not give medical excuses for absence from work or class. Faculty members and supervisors should not ask for, or expect Campus Health Services to provide documentation of health problems.

2.13.4 Health Psychology Services

The NAU Department of Psychological Sciences provides health psychology services for the prevention and treatment of health-related issues as well as pediatric clinic services to assist with behavioral issues in children. Graduate students in the Applied Health Psychology Master’s program, supervised by licensed psychologists, provide services. There is a minimal fee for students and a sliding fee scale for others.

2.13.5 Speech-Language-Hearing Clinic

The NAU Speech-Language-Hearing Clinic provides comprehensive diagnostic evaluation and treatment for infants, children, and adults. The clinic also serves as a training site for graduate student clinicians in the Department of Communication Sciences and Disorders.

All services are provided in a professional and comfortable environment using state of the art techniques and equipment to ensure the best clinical practices. Our faculty and graduate students are continually researching and practicing the best methods for identifying and treating individuals with speech-language and hearing disorders. Clients are seen under the direct supervision of experienced Speech-Language Pathologists and Audiologists, all of whom are nationally certified by the American Speech-Language-Hearing Association, and licensed by the State of Arizona in speech-language pathology, audiology, and hearing aid dispensing.

A full range of speech-language and hearing services are available for all individuals, newborn through adulthood. Our treatment programs are designed to meet each individual’s need and can be conducted in individual or group sessions. Services are available at our campus clinic, in home settings, schools, hospitals and residential care facilities.

Modest fees are charged for speech-language therapy services. Payment is due at the time of service. We accept cash, checks and all major credit cards. The clinic is contracted with Medicare and BCBSAZ for hearing services.

2.14 Information Technology Services (ITS)

Information Technology Services maintains and supports telephone, computer, administrative systems and network infrastructure at NAU. Support services include email, wired and wireless networking, academic systems, administrative systems, student technical support services, telecommunications, site licensed software and faculty and staff support and training. The ITS web site provides
detailed information regarding available services (see “Information Technology” at http://nau.edu/quicklinks/). Faculty should visit this site and click on the link titled "Faculty" in the blue navigation bar on the left for more information regarding IT resources and core services most faculty use during their careers at NAU.

2.15 Institutional Effectiveness

The Institutional Effectiveness (IE) unit includes the office of Planning and Institutional Research (PAIR) and the University Budget Office. IE is responsible for coordination of strategic planning, strategic budgeting, and university accountability reporting. The offices provide data, analyses, and projections for planning and decision-making; coordinate the design, implementation, and analysis of major institutional studies, report official data for mandated and other external reports; and assist other offices in obtaining and analyzing information. IE manages the overall University budget, oversees the contract issuance process and faculty payroll processing, and works with other jurisdictional areas to develop, manage, and strategically use University resources.

2.16 Lumberjack’s Online University Information Environment (LOUIE)

The Lumberjack's Online University Information Environment (LOUIE) is the administrative transactional system used to process student, faculty and staff information. Students, faculty and staff depend on this system for tasks ranging from enrolling in classes and recording grades to employee timekeeping and receiving compensation.

The LOUIE system is built upon the Oracle/PeopleSoft Human Resources and Student Administration applications. Oracle/PeopleSoft provides a suite of software specifically designed for the changing needs of higher education. In order to access the faculty center functions in the LOUIE system, faculty must successfully complete FERPA training. The functionality afforded by Oracle/PeopleSoft allows the following features:

From the Student Center, students can:
• view class schedules, check enrollment appointments, and enroll or change enrollment in classes;
• request transcripts and view course and grade history;
• apply for graduation;
• view milestones;
• change major and run “what if” (I change my major) reports;
• update personal information, including address and phone numbers and privacy (FERPA) settings;
• review account information, setup/edit direct deposit information, view 1098T forms, and enroll in a payment plan;
• make online credit card and eCheck payments;
• view financial aid details, including the cost of attendance, expected family contribution, view/decline awards, federal work study eligibility;
• run a Degree Progress Report (also referred to as the Academic Advisement Report);
• review holds and a to-do list;
• view/edit contact information (name, address, phone, email) as well as emergency contact information;
• view advisor information;
• link to helpful links for health and meal plans, NAU bookstore, BbLearn, Guardian Access.

From the Faculty Center, faculty members can:
• see a complete calendar of their classes;
• view a list of students who are enrolled for a class, plus those who have dropped or withdrawn;
• send email to one student, a select group or all students in a class - with just one click;
• access class information, such as start and end date, days, times and location;
• enter mid-term and final grades;
• access student information (student class schedule, unofficial transcripts, advisement reports, class schedule, grades, advisor information, milestones, to-do list, holds).

From the Employee Self Service, employees can:
• update personal information such as address and phone numbers;
• view paycheck, leave balances and tax information;
• view and update benefits information, dependents and beneficiaries;
• view and update direct deposit information;
• make online credit card and eCheck payments;
• Access Peoplesoft Security System (ePASS).

LOUIE Hours:
• The LOUIE system is generally available 24 hours per day, seven days per week, with the exception of Sunday mornings from 4 a.m. to noon.
• Since LOUIE is a “live” and real-time system, it cannot be available 100% of the time due to the periodic maintenance needs of the many computer system components that LOUIE relies upon.
• Information about additional or unexpected outages is provided on the LOUIE Online homepage and via NAU’s portal, MyNAU, IT Systems Status channel.

2.17 Ombuds Program
The Faculty Ombuds Program provides NAU faculty with voluntary, informal, neutral, confidential, third-party assistance in resolving university-related issues, concerns, or conflicts. The role of the faculty ombuds includes listening, supporting the generation of viable options, facilitating dialogue among parties who request it, and promoting the development of effective conflict resolution/management skills. This service is available during the academic year. For additional information, contact the Faculty Ombuds Office (see “Ombuds Office” at http://nau.edu/quicklinks/).

2.18 Parking and Shuttle Services
Northern Arizona University Parking Services is responsible for the management of parking regulations adopted by the University Parking and Shuttle Advisory Committee under the authority granted by the Arizona Board of Regents. These
regulations are imposed for the safe movement and parking of all vehicles and non-pedestrian devices on campus.

Every member of the faculty and staff who operates or parks their motor vehicle on university property must register the vehicle, in addition to securing and displaying on the vehicle a current NAU parking permit for a designated parking area. Registration must occur before a vehicle may be parked in a university employee parking area. The university issues color-coded parking permits on the basis of classification of the registrant. The color of the parking permit indicates the area in which the vehicle may be parked. A permit does not ensure the availability of parking space but grants the privilege of parking in a specified area when space is available.

Vehicle registration fees are dependent upon the date of purchase. Permits expire on August 15. Permits and a complete brochure of the parking and traffic regulations of NAU are available at Parking Services.

Parking and Shuttle Services provides and supports parking, shuttle, bike, and pedestrian transit services:

- SafeRide is a service that runs from 9 p.m. to 2 a.m. on Thursday, Friday and Saturday from campus to downtown Flagstaff.
- Enterprise CarShare is a membership-based car-sharing program for employees and students providing an alternate method of transportation.
- The Mountain Line is the city bus service around Flagstaff and employees receive a free ECO pass, which includes access to all of the Mountain Line routes.
- Bike Registration and covered parking for bikes is available. Registration is free. Covered parking available at a nominal rental fee.
- Motorist Assistance is available at no charge when our staff are working for lockouts, jump-starts, tire inflation, emergency gas or if stuck on ice or snow.

## 2.19 Police, University

The University Police operate as a full service university police department with the same responsibility and authority as a municipal, county or state law enforcement agency. While responding to and preventing crime, and enforcing the laws are essential to providing a safe working, learning and living environment, policing is as much about education as it is enforcement. The NAUPD offers a variety of programs that support their dedication to working closely with our community. Services provided by the University Police department include:

- Emergencies – dial 523-3000 or 911. Another means of direct emergency contact to police is through the blue light phone system. These easily identifiable phones (Blue light above a yellow call box) are strategically located across campus, as well as at all main residence hall entrances. Pushing the button on the phone immediately connects the caller to the NAU PD emergency dispatcher. Additionally all elevators also have emergency phones.
- Safety Escort – 928-523-3611
- Fingerprinting
Faculty Handbook

Revision Dates: 08/2014, 07/2013, 5/13, 8/12, 8.11, 8.08

Office of the Provost

- Lost and Found
- Personal Property Identification Tools
- Public Safety and Crime Prevention Programs
- Copies of Reports

Emergency Management, Office of

The NAU Office of Emergency Management (NAUOEM) is an office within the NAU Police Department and is responsible for the planning, organizing, and execution of campus emergency management activities for NAU and its various colleges and departments. It is also responsible for maintaining and updating university emergency operations and recovery plans. The NAUOEM has a variety of preparedness programs available to the NAU community. Services provided by the NAUOEM include emergency preparedness and safety presentations to departments and educational courses, emergency planning support to departments and buildings, and emergency drills and exercises on an as needed basis.

2.20 Postal Services

Faculty and staff are provided with on-campus mail service through the NAU Postal Services located in the basement of the Bookstore Building #35. Visit their web site to review policy/procedures, and information on express mail tracking, zip code lookup service and automation guidelines.

2.21 Public Affairs, Office of

The Office of Public Affairs promotes and protects Northern Arizona University and promulgates the vision and initiatives of the president. Through nau.edu, social media outlets, the NAU News website, press releases and interviews and the physical location of the office, the department’s communication is often the first contact the university has with students, prospective students, parents, legislators, community leaders, the Arizona Board of Regents and the public. As the university audience’s use of social media increases, Public Affairs communication continues to transition from the traditional news practice of pushing messages out to a more authentic two-way conversation with readers, fans and followers.

Scope of responsibility
- **NAU News** – A university news engine for staff, faculty, state leaders, media, alumni, the community and NAU friends.
- **Media relations** – Responding to media inquiries while defending and promoting NAU.
- **Press releases** – Proactively promoting programs, research, awards and accomplishments of faculty, staff and students.
- **Social media** – Engaging media, prospective students, current students, parents, alumni, employees, friends and the public.
- **Public information** – Working with university staff and faculty to meet Arizona law through timely response to requests for university public information.
- **Experts** – Building relationships with faculty to develop pitches and respond to requests for expert opinion and statements on current topics.
- **University spokesperson** – Speak on behalf of the institution (and the
president) on virtually any topic.

- **Emergency management** – Provide fast and accurate information in the event of emergencies, including weather related, criminal or health.
- **Crisis and issues management and mitigation** – Gather information and develop strategies to help mitigate risk of harm to the university’s appearance and reputation.
- **Filming on campus** – Coordinate logistical, insurance and legal requirements for commercial videographers to film on campus. Past requests have included MTV, Mazda, Food Network’s The Great Food Truck Race, the Ellen DeGeneres Show and NHK World TV in Japan.

Public Affairs works with faculty, staff, administrators and the president to craft messages to various audiences across the state, nation and world.

### 2.22 Research, Office of

The Office of the Vice President for Research provides administrative and financial support for the research and graduate education missions of Northern Arizona University. Research efforts supported by NSF, NIH, and other agencies, academic scholarship in the humanities and social sciences, performance and exhibition scholarship in the fine arts and professional inquiry in the education and clinical health fields reflect Northern Arizona University’s pursuit of knowledge, discovery, and aesthetic expression and dedication to the advancement of knowledge and learning in all its forms. For policies, ref. section 3.5.

### 2.23 Scholarships & Financial Aid

Northern Arizona University is committed to helping students and their families bridge the gap between their personal resources and the cost of attending school. The Office of Scholarships and Financial Aid provides financial assistance resources to as many students as possible to help make their academic endeavors successful; many of whom might otherwise be unable to attend the University.

Faculty and staff are eligible for reduced tuition and must complete the Educational Aid Registration Permit (EARP) to qualify. The Educational Aid Registration Permit (EARP) is used for reduced tuition at NAU, ASU, and the U of A. Only eligible employees, the employee’s spouse, and the employee’s dependent children qualify for this benefit. (see “Financial Aid” at http://nau.edu/quicklinks/).

### 2.24 Student Services

Several services are available across campus to assist faculty and staff in making referrals for students who need assistance beyond the classroom. The following sections describe services available to assist students during their tenure at NAU.

#### 2.24.1 Counseling Services

Counseling Services works to enhance opportunities for students to achieve psychological growth, emotional well-being, and learning potential. This aim is accomplished through the provision of short-term psychological counseling, crisis
intervention, consultation, mental health and substance abuse educational programming, and advanced graduate training and referral services. The success of Counseling Services is enhanced by consultation with faculty and staff who are concerned about specific students.

Counseling Services offers individual, couple, and small-group counseling as opportunities to address such issues as adjustment to college, relationship concerns, depression, anxiety, stress and time management, and other personal and psychological concerns. For more information, including how students can access services, the costs, location, or to consult with a staff member regarding a student about whom you are concerned, please contact Counseling Services (see the “Counseling Services” at http://nau.edu/quicklinks/).

2.24.2 Disability Resources

Section 504 of the Rehabilitation Act and the Americans with Disabilities Act requires that all NAU programs, services and facilities be accessible to individuals with disabilities, except where the action necessary to achieve accessibility would result in a fundamental alteration of the program or service or would impose an undue burden. Northern Arizona University is proactive in its dealings with students who have disabilities.

Disability Resources has been designated to serve as the main point of contact on issues related to ADA and Section 504 compliance for all matters related to providing class instruction. Only DR and/or other designated university staff with the appropriate expertise and training may review and make determinations in response to requests for academic adjustments and auxiliary aids (accommodations). Faculty and academic administrators may be consulted regarding whether a particular accommodation would constitute a fundamental alteration to an essential element of a course or program. However, faculty members are not authorized to make determinations in response to requests for accommodations. University-authorized accommodations for students (those granted to individual students through “Accommodations Letters”) shall be implemented with the supervision of Disability Resources.

Services are available for all NAU students who meet the eligibility standards set by Disability Resources in accordance with Section 504 and the A.D.A as amended. Services are designed to provide access to all programs, services and facilities in the most integrated setting appropriate to the needs of the qualified student with a disability. Accommodations are established on an individual basis, and are tailored to the needs of each student.

By law, accommodations can include a variety of adaptations. Most classroom buildings are now accessible, as are residence halls and apartments. Administration buildings and offices are either accessible or other arrangements are made to accommodate the needs of students with disabilities. Educational programmatic access may involve accommodations such as relocating a class, tape recording lectures, provision of a sign language interpreter or a real-time captioner, special testing arrangements such as extended time or a distraction reduced environment, as well as cooperating with Disability Resources to provide accommodations appropriate to the specific needs of students with disabilities as determined by Disability Resources.
An individual with a disability is an individual with a documented impairment that substantially limits one or more of that individual's major life activities. Recognized disabilities include, but are not limited to, mobility impairments, deafness, hard of hearing, blindness, visual impairments, learning disabilities, chronic medical conditions, and psychological disorders.

A student served through Disability Resources may qualify for an attendance policy modification (see “Disability Resources” at http://nau.edu/quicklinks/).

2.24.3 Gateway Student Success Center
The Gateway Student Success Center (Gateway) offers academic advising in a supportive environment that assists students in finding their sense of place by completing a rewarding and personally enriching University experience. Gateway functions as part of the interconnected NAU community, providing students with information, helpful tools, and resources to aid them in becoming self-directed and successful learners. Gateway works to empower students to discover their potential and passion, to follow that passion, and to pursue a life of purpose. Gateway advisors assist students in developing a clear understanding of degree requirements and provide specific information about recommended first year courses, as well as information about support services and other campus resources. All freshman and students pursuing the Bachelor of University Studies are seen in the Gateway Student Success Center. Undeclared students still deciding on a major are advised in the Gateway until they declare a major. Transfer students (defined as 24 plus credits of post high school transfer credit) meet with an advisor within the college of their major to receive detailed assistance with transfer credits, course recommendations, and enrollment. The Gateway Student Success Center offers guidance and advising for students who are pursing to attend a medical or law program after graduation. Advisors encourage and support students to plan ahead so they are aware of the necessary steps for application to their ideal school. Services offered to all NAU students include; choosing a major for medical or law school, the application process, entrance exam information, writing a personal statement, letters of recommendation and evaluations, and suggestions of extracurricular activities to engage in the chosen career path. For additional information, see “Gateway Student Success Center” at http://nau.edu/quicklinks/.

2.24.4 NAU Career Development at University College
The mission of NAU Career Development at University College is to engage and educate students and alumni in their process of career development and planning to empower their pursuit of lifelong professional growth. Staff meet with students at any time during their academic career at NAU, as well as with alumni. Alumni can access the same services as students free of charge for one calendar year after graduation. After that, alumni may access services for a nominal fee.

NAU Career Development provides the following tools and resources for students:

- Jobs for Jacks, an NAU-specific online job search database providing access to both on and off campus job opportunities
• A robust website housing tools for career and graduate school exploration and preparation (see “Career Services” at http://nau.edu/quicklinks/)
• An active social media presence that advertises career events, provides meaningful career advice, and highlights select job opportunities

NAU Career Development offers group workshops in partnership with faculty, university staff, and student organization. Additionally, NAU Career Development staff meets with students on an individual basis for:

• Resume and cover letter reviews
• Mock Interviews
• Job Search Strategy development
• Career Exploration
• Career Assessment interpretation

Students can network with prospective employers and graduate school representatives through events such as Career and Graduate School Fairs, Employer Information Sessions, employer-sponsored speaker events, and campus visits. NAU Career Development works in close collaboration with department-based career services professionals, academic advisors, and other university staff across NAU.

2.25 Transportation and Maps

The James F. “Tuffy” Rice Fleet Services provides Northern Arizona University with a fleet of modern, well-maintained vehicles in an effort to provide safe, economical transportation for all official university requirements. For information regarding procedures for requesting vehicles, policies related to the use of vehicles, as well as, a list of NAU buildings, printable maps and information on parking and shuttle services see “Transportation Service Center” at http://nau.edu/quicklinks/.

2.26 University College

University College brings together curricular, co-curricular and academic support programs and uses several key strategies in all of its efforts: collaboration, deliberate design, and assessment, scholarship of teaching and learning, and innovative use of technology. Each of University College’s programs: Liberal Studies, First Year Seminar, First Year Learning Initiative, Gateway Student Success Center, University Advisement, Academic Transition Programs, Class Linked Academic Support, Academic Coaching, academic and co-curricular programs, advising, Grade Performance Status (GPS), and career planning align with a vision where every student entering NAU’s Flagstaff campus will develop self-understanding to make informed decisions about a major and succeed in carrying out a plan for an education that provides excellent preparation for life and professional accomplishment. These programs work across campus and with other college programs to create a challenging and supportive learning environment in which all students can flourish.
3. UNIVERSITY POLICIES

Northern Arizona University is an institution of learning organized under the constitution and laws of the state of Arizona. The Arizona Board of Regents developed some policies that guide NAU and others were developed internally through one or more Vice Presidential divisions or the Office of the President. Policies for the Arizona Board of Regents can be accessed online at the ABOR web site. This section contains brief overviews of policies/procedures within the following divisions/areas:

- Academic Affairs
- Arizona Board of Regents
- Finance & Administration
- Information Technology Services
- Research
- Student Affairs

3.1 Academic Affairs

The Office of the Provost and Vice President for Academic Affairs provides resources, support, and leadership for the academic affairs division to facilitate the development of teaching, learning, and research outcomes that reflect the university’s mission and values. Academic Affairs also ensures that academic personnel have access to relevant policies and forms, such as the Faculty Handbook, Conditions of Faculty Service, syllabus policy statements, and other important resources. For additional information on any of the following policies/processes/departments, see “Provost” at http://nau.edu/quicklinks/.

5-year Academic Calendar
Adjunct and visiting scholar (non-compensated positions)
Conditions of Faculty Service
Conduct, Ethics, Reporting and Transparency (CERT)
Emeritus Nomination
Faculty Development Program
Faculty Handbook
Faculty Ombud’s Program
Personnel Action Calendar for Faculty Reviews
President’s Award
President’s Distinguished Teaching Fellows
Regents’ Professor Award
Sabbatical Application Process
Salary Schedules for Part-time faculty
Syllabus policy statements

The subsections that follow contain abbreviated descriptions of policies and procedures for the Academic Affairs division that should be of particular interest to faculty and academic professionals:

- Academic Program Review
- Academic Standards
- Commencement
Academic Program Reviews and Accreditation Reviews

Academic program review is the process through which Northern Arizona University regularly reviews, evaluates and establishes plans for all undergraduate and graduate programs. A program review consists of a self-study conducted by the faculty and program leadership, followed by a review by a team of external consultants and a member of the university faculty. For complete information on program reviews see “Vice Provost for Academic Affairs” at http://nau.edu/quicklinks/).

Program reviews are a means to ensure advancement of the quality of Northern Arizona University’s academic programs. The process enables a comprehensive assessment of program goals, infrastructures, operations, and outcomes in relation to the mission and strategic plan of the university. The program review process facilitates dialogue among the provost, dean and program leadership that leads to the development of a plan for continued enhancement of the program.

Arizona Board of Regents policy (ABOR 2-208) requires review of all academic programs every seven years. The department or school is the basic unit of review. Normally, all programs within an academic unit are reviewed simultaneously. In some instances, externally accredited programs or programs that do not reside in a department or school are reviewed independently of academic units. Externally accredited programs are reviewed in compliance with the standards and procedures established by the accrediting organization. The review conducted by the accrediting body will usually serve as the academic program review process.

Academic Standards

Policies on academic standards are reviewed and recommended by the Academic Standards Committee, which reports to the provost with respect to all general and special academic policies, standards, procedures, and scholastic regulations. For information on this committee, refer to the “Academic Standards Committee” at http://nau.edu/quicklinks/). This committee continuously re-evaluates such standards and policies to assure that appropriate academic standards prevail. Some policies that may be of interest to faculty are described in the following subsections.

3.1.2.1 Academic Dishonesty - Student Appeal of a Charge of Academic Dishonesty

Academic dishonesty is a form of misconduct and includes the following: cheating, fabrication, fraud, facilitating academic dishonesty and plagiarism. The policy can be accessed from the “Catalog” at http://nau.edu/quicklinks/.

3.1.2.2 Baccalaureate Honors Policy

Baccalaureate Latin Honors are designated on commencement programs, diplomas, and transcripts to recognize outstanding academic achievement by graduating students in relation to their peers' achievement.
Baccalaureate Honors designations that appear beside student names in commencement programs are provisional until all final grades are reported and the student’s degree is conferred.

Baccalaureate Latin Honors are granted to undergraduate candidates who:

- Successfully complete 30 or more units of credit earned from enrollment at Northern Arizona University; and
- Have an exemplary grade point average (GPA) meeting the GPA thresholds set for the college owning the student’s primary plan for their degree.

Appropriate GPA thresholds are specific to each college as determined on a percentage basis (top 5%, 10%, and 20%). These GPA thresholds will be calculated using data from the preceding five academic years. For colleges with fewer than 300 graduates, a weighted average of all college Latin Honors GPA thresholds will be used to determine the Latin Honors GPA threshold.

Awards appear as Cum Laude, Magna Cum Laude, and Summa Cum Laude depending on the GPA value earned by the student at the time their degree is awarded.

More information on this policy can be found in the Academic Catalog.

3.1.2.3 Standard Class Meeting Times

The standard class meeting time policy ensures that students will have the opportunity to enroll in required or desired courses and optimizes utilization of university facilities. All courses on the Flagstaff campus will be scheduled in accordance with the standard meeting times identified in the Standard Class Meeting Time policy. The policy can be accessed from the Academic Catalog.

3.1.2.4 Grade Appeal Policy (Undergraduate)

Only the faculty member who assigned the original grade has the authority to change that grade unless the grade is appealed and the appeal is successful. The procedure outlined in the Academic Catalog, applies when a student initiates a grade appeal request and not when the instructor is correcting a grade on a standard form.

3.1.2.5 Grades and Grading

It is the responsibility of the instructor to provide students, either in the course syllabus or in written addendums, the grading scale to be used to assign course grades. Grades are reported to the Registrar’s Office using the LOUIE online system. The grading policy can be accessed from the Academic Catalog.

The “A-Pass-Fail” grading option is designed to encourage students to take undergraduate courses outside their major field through utilization of a grading system which does not affect their overall grade point average except when a grade of “A” or “F” is earned. Undergraduate students may utilize this option if they have a minimum cumulative grade point average of 2.50, or a grade point average of 3.00 for 12 or more units for the preceding semester. A maximum of 24 hours of “A-Pass-Fail” coursework may be used in a baccalaureate degree.
program and no more than two courses in a single field may be used. Students may not use the “A-Pass-Fail” option for professional courses in teacher education, major, minor, honors and liberal studies courses.

Part-time faculty members and those leaving the institution are to leave their grade books and other grade records with the administrator in charge of the academic unit.

Only the faculty member who assigned the original grade has the authority to change that grade unless the grade is appealed and the student’s appeal is successful (see below for Change of Grade by Instructor). In the event the faculty member is no longer with the university, the authority to change the grade, including the authority to make up an incomplete, is delegated to the department chair or dean. Refer to the Academic Catalog for the policy on incompletes.

**Change of Grade by Instructor**

The course instructor is responsible for assigning the grade for a course based on an evaluation of materials submitted by students as described in the course syllabus or written addendum to the syllabus. The instructor must initiate any change of the original grade assigned, except as outlined in the Grade Appeal process. All requests for a change of grade must use the approved form available from the Registrar’s Office and must be approved by the instructor, unit chair or equivalent and the college dean. The instructor is responsible for articulating the rationale for the change of grade. For this purpose, an "I" or "IP" is not considered a grade; thus, changing an "I" or "IP" must be in accordance with the language in the current NAU Academic Catalog.

Changing a grade after it is submitted to the Registrar may include but is not limited to such issues as errors in the class roster, mis-assignment of the appropriate grade, and/or miss-calculation of the grade. After a grade is submitted to the Registrar, the grade may not be changed as the result of the addition of extra credit work not available to all students in the course and/or work not outlined in the syllabus or an addendum that was distributed during the semester. Nothing in this statement should be interpreted in any way so that it has an impact on "I" or "IP" contracts.

A change of grade must be initiated no later than one year (365 days) after the last day for submission of the grade roster to the Registrar’s Office for the course in which the grade change is being requested.

### 3.1.2.6 Mid-Term Evaluation of Students

In the interest of providing students with early feedback regarding academic progress in their course work, mid-term grade reporting is required for all lower division courses (100 and 200). This formal evaluation is designed to allow students an opportunity to work with faculty and academic support units to improve their performance.

The reporting of mid-term grades is done on the LOUIE system. Typically a three-week window is provided for the grades to be entered. Procedures for entering mid-term grades can be found by entering LOUIE, and selecting “Faculty/Advisor/Staff Tools” “and Grade Roster – Mid-Term”.
NAU Instructors are encouraged to submit mid-term grades for Fall and Spring 16-week, upper division (300 – 400) level courses. Submission of these mid-term grades will follow standard practice for the reporting of grades at NAU.

Notification to instructors regarding the time-period for entering the grades and other relevant information will be distributed by the Registrar’s Office. Normally, a three-week time frame for entering the mid-term grades will be allowed.

3.1.2.7 Student Attendance

The sections that follow provide information on institutional excuses and unregistered students in classes. Students are expected to assume the responsibility for regular class attendance as described in the Class Attendance policy in the Academic Catalog.

Institutional Excuses

As stated in the Class Attendance Policy in the Academic Catalog, students are expected to assume the responsibility for regular class attendance. When absence is unavoidable, students should report the reason to the class instructor and assume the responsibility for any work they miss. Class Instructors have no obligation to make special arrangements for students who have been absent unless the student has an institutional excuse as described below. Class attendance policies must be in writing, included in the class syllabus and distributed to students during the first week of class. Class attendance policies must make allowances for students with institutional excuses.

An Institutional Excuse is granted to a student to participate in academic, extracurricular and athletic events as a representative of the university. Academic units may create appropriate processes to review and approve institutional excuses. Class Instructors may give a different test and/or give assignments composed of different subject matter than that missed by a student with an institutional excuse.

There are three types of institutional excuses as described below:

- The Academic institutional excuse is approved by the Dean of the College and is for students participating in a scheduled class activity outside of normal class meeting times and similar kind of events.

- The Extracurricular institutional excuse is approved by the Dean of Students and is for students participating in sanctioned and approved events of student organizations and non-NCAA athletic competitions.

- The Athletic institutional excuse is approved by the Vice Provost for Academic Affairs and is for students participating in NCAA sanctioned events.

Institutional excuse forms are available from the Student Handbook that can be accessed online (see “Student Life” at http://nau.edu/quicklinks/).

Class Instructors are required to honor institutional excuses. To honor an institutional excuse means to permit the student to complete in advance or to make-up after the absence (at the discretion of the instructor) academic
assignments, quizzes and examinations missed during the time covered by the institutional excuse when the student was not in attendance.

Students are responsible for notifying class instructors and showing them a copy of the institutional excuse at least five (5) working days (or one class period if the class meets less frequently than every five days) prior to the start of the time period it covers. Class instructors are not required to honor institutional excuses presented to them less than the stipulated time period stated in the previous sentence. It is recommended that athletes, at the beginning of the semester, provide their faculty a schedule of all events in which the team will be participating for which an institutional excuse will be granted.

**Unregistered Students in Classes**

Faculty members must not permit students who have not completed the registration process to remain in classes. Rosters, listing students officially enrolled in classes, are available online to faculty on LOUIE. Instructors are to check the names of those in attendance against the official rosters and inform those who are not properly registered to complete the registration process.

**Attendance Accommodation**

If a qualified student with a disability believes he or she may not be able to abide by the attendance policy for disability related reasons, the student should contact Disability Resources prior to the beginning of the semester, or as soon as possible after the need for an exception arises, to discuss the matter of a possible accommodation. For additional information on this accommodation, refer to Disability Resources.

### 3.1.3 Commencement Participation

Faculty members and administrators are expected to participate in commencement activities in December and May. Correct academic attire is required for all participants. Information on commencement is available online (see “Commencement” at [http://nau.edu/quicklinks/](http://nau.edu/quicklinks/)).

### 3.1.4 Conditions of Faculty Service (COFS)

ABOR Policy 6-201 provides for local university implementation and definition of conditions of faculty service. NAU’s local Conditions of Faculty Service is available online from “Conditions of Faculty Service” at [http://nau.edu/quicklinks/](http://nau.edu/quicklinks/). Faculty members should review COFS for information on conditions of employment.

The Arizona Board of Regents COFS policies are accessible from the ABOR website (see the “Arizona Board of Regents” at [http://nau.edu/quicklinks/](http://nau.edu/quicklinks/)).

### 3.1.5 Curriculum

Curriculum policies are established to ensure that university undergraduate and graduate curriculum and all regulations pertaining thereto comply with the stated mission and goals of the university. Curriculum policies help assure academic integrity and prevent unnecessary course proliferation.

This section describes the following topics:

- Academic planning
• Reporting Academic Program Changes to ABOR
• Academic catalogs
• Course syllabus format and policy statements
• Criteria for upper/lower division courses
• Cross-listing and co-convening
• Diversity and liberal studies requirements
• Fees (course/program)
• Graduate education
• Letter designations on courses
• Schedule of classes
• Undergraduate curriculum components

3.1.5.1 Academic Planning

In 2013-2014, the Provost’s Office led the development of a new Academic Planning Framework: the outcome of working groups (from the Provost’s Academic Leadership Council and faculty) outlining shared understanding of how to assess a current or proposed program’s contribution to university strategic goals, the academic quality and impact of a program, and a realistic understanding of a program’s resource needs. The draft framework document will be used as a reference for program proposals and academic program reviews. For additional information about this process, refer to https://sharepoint.nau.edu/academic_planning

The university attempts to identify strategic areas for program development, recognizing that an institution of our size cannot be all things to all people, or compete directly with elite research institutions across all disciplines. Particular areas of growth and emphasis in the past few years have included STEM fields (our undergraduate engineering programs are nationally recognized, we have a tremendous focus on undergraduate research, and we host a replication of the prestigious UTEACH program), sustainability and environmental science, programs emphasizing the diversity of human cultures (from Applied Indigenous Studies to applied linguistics and anthropology), and the health professions.

3.1.5.2 Reporting Academic Program Changes to ABOR

The Arizona Board of Regents (ABOR) requires each university to submit an annual Academic Strategic Plan to the ABOR Academic and Student Affairs Committee (ASAC). The Plan provides information on the key academic initiatives planned by the institution and describes how this supports both the University’s strategic plan and the system-wide strategic plan of the Arizona Board of Regents. The Committee’s approval authorizes the university to implement changes outlined in the plan. The Academic Strategic Plan includes the following requests and information:

• An inventory of all academic degree programs which are expected to be planned, implemented, merged with other programs or eliminated in the upcoming year.
• A list of anticipated changes to academic organizational units.
• Information on the institution’s centers and institutes created and eliminated.

Upon approval by the Academic and Student Affairs Committee, the strategic plans may be implemented without further review or action by ABOR. Notification
of the ASAC approval of the plans is submitted to the Arizona Board of Regents, normally in June. Northern Arizona University implements the plans in July at the start of the fiscal year or after all internal reviews as described below in Step 6: Preparation of Implementation. Academic Strategic Plans are available online from the Provost’s web page.

**Process for Creating Academic Strategic Plans**

ABOR provides templates for the strategic plan that are completed by the Office of the Provost for submission by the ABOR stated deadlines to allow preparation of a master document for submission to the ASAC in the spring semester. Below is an outline of the steps and timetable to be followed in updating the NAU Academic Strategic Plan:

**Step 1: Approval of Proposals**

Proposals for new degrees, degree streamlining, name changes, or additions must undergo all internal university review and approval steps including those at the unit, college, and university levels. Prior to the internal reviews of proposals for new programs, name changes, organizational changes to academic units and the elimination of programs, the Dean must obtain approval from the provost/president to begin planning. Faculty must work with the Academic Dean and the Graduate Dean (for graduate programs) to develop proposals. A degree may not be included on the strategic plan until the Provost/President has approved the proposed change. College/School University Graduate Committee and University Curriculum Committee processes must also be followed prior to fully developing formal submission of proposals for new programs or deletions of programs.

**Step 2: Internal University review and preparation of the University Academic Strategic Plan (mid-November – February).**

Draft strategic plans are reviewed by the Provost’s Academic Leadership Council, which makes recommendations to the University Provost. The University Provost/President makes final approval of the Academic Strategic Plan.

**Step 3: The University Academic Strategic Plan is forwarded to ABOR (mid-March).** The strategic plan is submitted to the ABOR Academic and Student Affairs Committee.

**Step 4: Academic and Student Affairs Committee reviews and approves the University Academic Strategic Plan (April/May).**

**Step 5: The Strategic Plan is submitted to the June ABOR meeting as a consent item.**

**Step 6: Preparation of Implementation.** The Provost’s Office will notify each dean regarding the status of items on the strategic plan. Proposals will need to be prepared and undergo the internal unit, college/school and university reviews (i.e., curriculum committees/graduate committee) before implementation.

**Step 7: Programs Requiring Fees.** Proposals requiring new state resources or a program or course fee must be reviewed and approved through the current budget and tuition/fee approval process. Refer to the Registrar’s web site and select “Faculty and Staff Resources” for instructions on the fee request process.
The Academic Strategic Plan for Northern Arizona University is available from the Provost’s web site. Questions about this process should be forwarded to the Office of the Provost.

3.1.5.3 Academic Catalogs
The NAU undergraduate and graduate course catalogs are available from the NAU web site (see the “Catalog” at http://nau.edu/quicklinks/).

3.1.5.4 Course Syllabus Format and Policy Statements
The approved format for the course syllabus is available online (see the “Curriculum Committee” at http://nau.edu/quicklinks/).

3.1.5.5 Criteria for Upper/Lower Division Courses
The “Criteria for Upper/Lower Division Courses” is available from the University Curriculum Committee’s web site.

3.1.5.6 Cross-Listing and Co-Convening
Cross-listing refers to the same course, taught with different departmental prefixes (e.g., political economy might be listed as both ECO 585 and POS 585). Co-Convening refers to convening graduate and undergraduate courses on the same topic together (in the same room, at the same time). For example “Anthropology of Animals” might be listed as both ANT 4xx and ANT 5xx.

The “Policy on Cross-listing and Co-convening” is available from the University Curriculum Committee’s web site.

3.1.5.7 Diversity and Liberal Studies Requirements
This section provides a brief description of the Diversity and Liberal Studies requirements for Northern Arizona University. For additional information, refer to the NAU Academic Catalog for the “Diversity Requirements” policy and the Registrar’s web page for instructions on how to access “Approved Diversity Courses.”

Diversity Requirements - A diversity curriculum requirement for all NAU students was created for two diversity categories: US Ethnic Diversity and Global Diversity.

The requirement is as follows for all NAU baccalaureate students who graduate under the provisions of the 2005-2006 NAU Undergraduate Catalog and subsequent catalogs:

- Three (3) units of course-work that meet the criteria for the US Ethnic Diversity requirement.
- Three (3) units of course-work that meet the criteria for the Global Diversity requirement.

Liberal Studies Requirements - The Mission of the Liberal Studies Program is to prepare students to live responsible, productive, and creative lives as citizens of a dramatically changing world. To accomplish this mission Northern Arizona University provides a Liberal Studies Program that challenges students to gain a
deeper understanding of the natural environment and the world’s peoples, to explore the traditions and legacies that have created the dynamics and tensions that shape the world, to examine their potential contributions to society, and thus to better determine their own places in that world.

The Principles to Guide the Development of Student Learning Outcomes are:

- To understand natural processes and the fragility of the earth’s environment.
- To understand the world’s peoples and their diversity.
- To understand the traditions and legacies that have created the dynamics and tensions that shapes the world.
- To understand the potential for and limitations of technology to enhance human and other life.
- To act upon the individual's responsibilities and connections to local, national, and global communities and environments.
- To practice the habits of an examined or self-reflective life to facilitate ethical and responsible living.

3.1.5.8 Fees (Course/Program)

The Provost and President must approve all program and course fees greater than $100 prior to the President’s public announcement regarding tuition and fee recommendations in March/April.

Course fees are intended to allow departments to recover certain costs with providing instruction. In no case should course fees or payments be made directly to the course instructor.

The instructions and deadlines regarding fee requests can be accessed from the Registrar’s web site, select “Faculty and Staff Resources.”

3.1.5.9 Graduate Education

Graduate education at Northern Arizona University is diverse and challenging, with a wide range of graduate and research programs encompassing biotechnology and health, sustainability, teaching, global learning, and the diversity of human experiences. NAU graduate students receive exceptional mentorship and find high-level opportunities for research, service, teaching, and interdisciplinary partnerships. There are more than five thousand graduate students enrolled at NAU. Of these, approximately two-thirds live elsewhere and pursue their degrees in classrooms at our numerous sites statewide or online.

NAU also offers accelerated bachelor and master’s degree programs, providing outstanding juniors and seniors the opportunity to work simultaneously on a master’s degree. Accelerated programs are available in Criminology and Criminal Justice; Engineering; Forestry; Geography, Planning and Recreation; Psychology; and Career and Technical Education.

Additionally, NAU offers Professional Science Master’s (PSM) programs in Geospatial Sciences and Climate Science and Solutions. PSM programs are interdisciplinary graduate degree programs that allow students holding bachelor’s degrees in science or math to receive advanced training in their core discipline while developing business and professional skills essential to the workplace. PSM programs generally require two years and are designed to meet the need
for applied scientists, engineers, and mathematicians in industry and government.

Finally, the Graduate College offers a number of graduate certificates, a focused collection of courses that afford students a record of coherent academic accomplishment in a given discipline or set of related disciplines. Graduate certificate programs may represent a more practice-oriented subset of an existing graduate discipline and require fewer credits than a master’s degree.

3.1.5.10 Letter Designations on Courses
NAU currently uses seven designations at the end of course numbers to indicate specific kinds of courses. For a list of these and the restrictions that apply, refer to the Academic Catalog.

3.1.5.11 Schedule of Classes
The fall and spring Schedule of Classes (SoC) serves as the department creators’ contact for special class changes, and builds and maintains the Location, Building, Facility, and Class Notes tables. Schedules are available through the NAU home page: select “Quicklinks” and “LOUIE online”.

3.1.5.12 Undergraduate Curriculum Components
A plan of study that students complete typically leads to the posting of a degree or a certificate. Examples: major, minor, certificate.

Major – Planned group of courses within a specific subject matter area containing 36 or more units. Each discipline should offer only one major; unless there are distinct sub-disciplines that are commonly organized as separate majors/degree programs and there is sufficient student demand for the additional majors/degree programs.

A major is differentiated from another major by required course commonality: 24 units of the required units of a major must be unique (i.e., not common or not dual use as a required element in another major), to that major. Alternatively, specialized degree paths can be judiciously created through the use of major emphases (sub-plans), of which 24 units of the major must be common to all plan/sub-plan combinations.

Minor – Planned group of courses from one or more subject matter areas in which the University already hosts ABOR-approved majors, consisting of at least 18 units, and no more than 24 units; completed with a cumulative grade point average of at least 2.0. At least 12 units of the minor must be unique to that minor and not applied to any other minor. Uniqueness will be enforced at the student-level, not the curricular level, while encouraging departments to work toward unique requirements at the curricular level.

The same course or courses can be used to satisfy requirements in both a major and a minor as long as at least fifty percent of the units in the minor have a different prefix than the major. The same course or courses may also be used to meet both liberal studies and minor requirements as long as all requirements for the minor are met.
Emphasis – Planned group of courses from one or more subject matter areas, consisting of at least 18 units. At least 15 units of the emphasis must be unique to that emphasis to differentiate it from other emphases. Not all majors have emphases within them, but those that do allow students to choose between two or more emphases as a way of tailoring the major to their particular needs and interests.

Concentration – Smaller planned group of courses within the major, consisting of 15 or fewer units, Concentrations are permitted for the purpose of communication clarity and convenience. A concentration represents a lesser subdivision within an undergraduate major than an emphasis but serves the same purpose of allowing students to tailor the major to their particular needs and interests.

Certificate – Planned group of courses within a single discipline or selected from among two or more related disciplines containing a minimum of 15 units. At least 12 units of the certificate must be unique to that certificate. A certificate is best used when there is a compelling market-place need.

The following provisions must also be met:
- at least 60% of the course work must be upper division;
- at least 60% of the course work must receive a letter grade (A, B, C, D, F) with a minimum cumulative GPA of 2.00 achieved in these courses;
- at least 60% of the course work must be resident credit (awarded by NAU);
- up to 40% of the course work may include individualized study courses such as Cooperative Education, Fieldwork Experience, Undergraduate Research, Independent Study and/or credit received through proficiency examinations acceptable to the unit awarding the certificate.

3.1.6 Registrar
The Office of the Registrar provides services in the areas of enrollment, grades, transcripts, enrollment verifications, graduation, undergraduate readmission, and the maintenance of student academic records. Important dates, deadlines, and calendars for enrollment, grading, and class schedule maintenance are available online from the Registrar’s website.

3.1.7 Faculty Authored Textbooks
When a faculty member prescribes the use of his/her textbook, an arrangement should be made with their direct supervisor whereby the faculty member can derive no personal profit whatever from sales of the book to students as prescribed. A suitable arrangement would preclude any royalty payments, or comparable compensation either by excluding such a sum from the purchase price of the materials or by arranging that such payments would be earmarked to go to some other charitable or educational use (i.e., scholarships).

3.2 Arizona Board of Regents
Arizona's state universities are under the jurisdiction and control of the Arizona Board of Regents (herein "the Board"). The Board is a body corporate with perpetual succession. The state universities are operationally independent from each other, but, together with the Board, they comprise the principal components
of the system of coordinated governance established by the Board and known as the Arizona University System.

The purpose, authority, powers and duties of the Board are derived from the Constitution, statutes and laws of the State of Arizona. The Board is assisted in the performance of its duties by staff employees who collectively are known as the Central Staff.

The following ABOR policies are particularly important for faculty. Other policies that may be of interest can be accessed from the ABOR policy manual that should be reviewed for possible revisions to the policies listed below.

3.2.1 Lobbying - ABOR Policy 1-102

The Arizona Board of Regents recognizes and appreciates the privilege which each individual in this state and nation has to express his or her opinion and to seek to make that opinion known to members of the Congress and the state legislature. The Board also recognizes the responsibilities with which it has been entrusted in connection with the operation of our universities and the advancement of higher education in the state of Arizona and recognizes that on occasion the interests of the Board and the universities will not coincide with the interests of individual employees of the Board.

In approaching members of the state legislature or the Congress, employees of the Board shall make every effort to indicate clearly that the position which they take is an individual position or is the position of a group other than the Arizona Board of Regents. In instances in which the Board has taken an official position, the employee or employee group endorsing a differing position shall make it clear to the legislative body that the Board has endorsed a different or contrary position.

The university officials responsible for disbursement or allocation of state funds shall determine prior to disbursement or allocation that such funds will not be used for purposes of influencing legislation unless such use receives specific authorization by the Board.

The Board shall make known to the appropriate members of the legislature that only the president of the Board or his or her designated delegate shall speak for the Board in matters relating to policy.

This policy is not intended to nor shall it be enforced so as to restrict rights guaranteed to individual employees but is an attempt only to separate the views of those employees from positions that the Board may take in attempting to discharge its responsibilities under the Constitution and the statutes of the State of Arizona. [A.B.O.R. 1-102]

3.2.2 Competition with Outside Enterprise - ABOR Policy 1-105

The policy related to competition with outside enterprise can be found at the ABOR web page.
3.2.3 **Outside Employment - ABOR Policy 6-705**
An employee may obtain outside employment or render professional services provided:

- It does not in any way interfere with the university duties of the employee;
- Outside employment is fully consistent with all rules promulgated by the university and the Board of Regents.

All NAU employees must complete the course on Conduct, Ethics, Reporting and Transparency (CERT) that is available online (see “CERT” at [http://nau.edu/quickpicks/](http://nau.edu/quickpicks/)).

3.2.4 **Political Activity - ABOR Policy 6-905**
Employees may participate in political activity outside their employment, but shall not allow their interest in a particular party candidate, or political issue to affect the objectivity of their teaching or the performance of their regular university duties.

3.3 **Finance & Administration**
The Office of Finance & Administration provides oversight for many of the university's business functions. The following subsections provide information regarding the following two areas that report to the Office of Finance & Administration.

- Human Resources
- Financial Services/Comptroller

3.3.1 **Human Resources**
The Office of Human Resources provides a Personnel Policy Manual that summarizes policies for employees of Northern Arizona University. The policies apply to all or specific groups of employees depending on the topic (e.g., Leaves, Benefits, Records, etc. and federally mandated requirements). The following subsections contain a few of the policies that may be found in the Human Resources policy manual.

3.3.1.1 **Affirmative Action**
Pursuant to Executive Order 11246, Section 503 of the Rehabilitation Act of 1973, Section 402 of the Vietnam Era Veterans’ Readjustment Assistance Act, and their implementing regulations, the university takes affirmative action to employ and advance in employment qualified women, persons of color, individuals with disabilities, and Vietnam-era and special disabled veterans at all levels within the organization. Where there are substantially equally qualified candidates for a position being filled, preference shall be given to candidates whose hire will help correct underutilization as identified in the university’s Affirmative Action Plan and then to candidates whose hire promotes diversity through workforce representations of individuals with disabilities and/or covered veterans. Refer to the Human Resources policy manual and/or the Affirmative Action web site.
Americans with Disabilities Act (ADA)
The Americans with Disabilities Act (ADA), signed into law effective July 26, 1992, established a clear, comprehensive federal prohibition of discrimination against persons with disabilities. Sections 503 and 504 of the Rehabilitation Act, which also prohibit discrimination against persons with disabilities, also apply to the university. Pursuant to those laws, the university prohibits discrimination and provides equal access to persons with disabilities in admissions, employment, educational programs and activities, and public programs and activities.

With respect to employment, the university prohibits discrimination against a qualified individual with a disability in regard to hiring, compensation, advancement, training, and other terms or conditions of employment. The university provides reasonable accommodation for the known physical or mental limitations of qualified applicants or employees with a disability, unless the accommodation would impose an undue hardship on the university. In determining whether and what type of reasonable accommodation may be appropriate, supervisors shall notify the Affirmative Action Office or the Human Resources Department for assistance. Refer to the Human Resources policy manual.

Equal Employment Opportunity
The university is an equal employment opportunity employer. University policy prohibits discrimination on the basis of race, color, sex, religion, age, national origin, disability, Vietnam-era or special disabled veteran status or sexual orientation. The university bases employment decisions solely upon the individual’s qualifications for the position being filled. The university recruits, hires, and promotes for all job classifications without regard to race, color, sex, religion, age, national origin, disability, Vietnam-era or special disabled veteran status or sexual orientation, except as affirmative action, legal requirements or carefully analyzed and thoroughly documented bona fide occupational qualifications permit or where an individual’s disability would prevent him/her from successfully performing the essential functions of the position to be filled despite reasonable accommodation by the university. Refer to the Human Resources policy manual.

3.3.1.2 Alcohol and Drug Policy
Northern Arizona is committed to providing a healthy educational environment, consistent with university policies and free from unlawful acts. NAU must certify compliance with The Drug-Free Workplace Act (41 USCA 701), The Safe and Drug-Free Schools and Communities Act (20 USCA 7101), and the Drug and Alcohol Abuse Prevention Regulations (34 CFR 86). As such, the university is taking this opportunity to inform all students, faculty and staff of the health risks, university policies, university and legal sanctions, and the prevention/intervention programs associated with alcohol and other drug abuse. Refer to the Human Resources policy manual.

3.3.1.3 Safe Working and Learning Environment
It is the official policy of Northern Arizona University to prohibit discrimination, to inform individuals of their right to be free from such behaviors, and to promote the safety of all individuals at university sites and activities. The Safe Working and Learning Environment Policy (SWALE) covers students, staff, faculty,
administrators, contractors, vendors, visitors, residents and guests in accordance with federal and state statutory and decisional law.

This policy is based on Arizona Board of Regents and NAU Policy and state and federal laws including, but not limited to: Title VI and VII of the Civil Rights Act of 1964, as amended; the Age Discrimination in Employment Act of 1967; Title IX of the Educational Amendments Act of 1972; Sections 503 and 504 of the Rehabilitation Act of 1973; the Vietnam Era Veterans Readjustment Assistance Act of 1974, as amended; the Civil Rights Act of 1991; Executive Order 11246; and the Americans with Disabilities Act of 1990, as amended. Refer to the Human Resources Personnel policy manual.

3.3.1.4 Emergency Closure

While it is the policy of NAU to remain open, in emergencies caused by severe weather conditions or a natural or an unnatural disaster, the president or designee may close the university to protect the health and safety of the students, faculty, and staff. The president or designee also will determine when the emergency has ended and the university should be reopened. For additional information refer to the Human Resources policy manual.

Faculty and staff can sign up for NAU Alert which sends text messages to employee and student cell phones in case of an emergency, including weather-related closures. Additional phone numbers can be added so that a friend or family member is notified of an emergency. This free service sends only emergency or other urgent messages. The system is not used to distribute advertising or other unsolicited content. For additional information, refer online to “NAU Alert” at http://nau.edu/quickpicks/.

3.3.2 Financial Services/Comptroller

Financial Services/Comptroller oversees several areas at NAU including Financial Accounting Services, Office of the Bursar, Sponsored Projects, Accounts Payable, Travel, Purchasing Services, Postal Services, Financial Controls and Financial Compliance. For information and policies related to these offices, refer to “Comptroller’s Office” at http://nau.edu/quickpicks/.

3.4 Information Technology Services

Information Technology Services operates and maintains information technology and telecommunications services in support of the Northern Arizona University mission and goals. For additional information on the following policies, refer to “Information Technology Services” at http://nau.edu/quickpicks/.

3.4.1 Computer Support Policies

Information Technology Services (ITS) supports the mission of NAU by providing desktop computing solutions for faculty and staff.

Demand for ITS services is high and the support policy was developed to focus efforts on the most critical needs of NAU faculty and staff as the core mission. However, there are some limitations that ultimately protect the provided service level. ITS cannot legally service equipment that is not owned by NAU, nor can they offer services to relatives or friends of NAU employees, or members of the community at large. In order to obtain services from ITS, employees must identify
themselves with an NAU computer account user ID and for hardware repair services, the computer property control number. Never give this account information to family or friends for their use.

3.4.2 Email Usage Policy
Email is considered an official method for communication at Northern Arizona University for students, faculty and staff because it delivers information in a convenient, timely, and cost effective manner. Students, faculty and staff are responsible for the timely review of email correspondence sent to official NAU email accounts. Students, faculty and staff are expected to check their NAU official email on a frequent and consistent basis in order to remain informed of University-related communications.

3.4.3 Cell Phone Policy
Northern Arizona University has a Cell Phone Policy that addresses the use of personal cell phones for university business. This policy was established to provide guidance for the use of cell phones for some job positions.

3.4.4 Network Acceptable Use Policy
Access to Northern Arizona University’s computing and network resources is a privilege that imposes certain responsibilities and obligations that are subject to university policies and codes, and local, state and federal laws. All users of these shared resources must act responsibly and comply with specific policies and guidelines governing their use. The purpose of this policy is to promote the efficient, ethical and lawful use of NAU's computer and network resources.

3.4.5 Security Policy
Northern Arizona University is committed to preserving the availability, confidentiality, and integrity of its information resources while also preserving and nurturing the open, information-sharing requirements of its academic culture. The University must protect its information assets, provide for the integrity of institutional processes and records, and comply with state and federal regulations.

3.5 Research
The Research Division at NAU provides leadership to promote the university's research enterprise. This section describes the following topics:

- Mission of Research at Northern Arizona University
- Resources Available through the Research Division
- Institutional Review Board (IRB) for the Protection of Human Subjects, Institutional Animal Care and Use Committee (IACUC), and Other Research Compliance Services
- Misconduct in Research
- Intellectual Property and Copyrights

3.5.1 Mission of Research at Northern Arizona University
Research is an essential component of Northern Arizona University’s role as a Doctoral High Research institution, as defined in the Carnegie classification. The
university’s research and creative activities result in new knowledge and innovation that

- Advance the discovery of new knowledge;
- foster the continued learning of faculty, staff, and students;
- and benefit the environmental, economic, and cultural vitality of our region and society.

3.5.2 Resources Available through the Research Division

The Research Division and the Office of the Vice President for Research seek to advance the scope and impact of scholarly work across campus by fostering an environment that encourages and inculcates creativity, innovation and excellence. The Division coordinates and oversees the following services and activities:

- intramural grant programs for faculty, students, and staff
- intellectual property policy and technology transfer
- university-wide research and public service partnerships
- strategic research initiatives
- specialized services and facilities to support researchers
- information on and assistance with regulatory compliance issues
- information on external funding opportunities, and support in applying for and managing external grants

3.5.3 Research Compliance Services

This section describes the Institutional Review board (IRB) for the Protection of Human Subjects, Institutional Animal Care and Use Committee (IACUC), Institutional Biosafety Committee (IBC), and other Research Compliance Services. All research that utilizes human subjects -- sponsored and unsponsored, faculty or student initiated -- must receive university approval before it is initiated. If research involves human subjects in any way, an application using the online system, IRBNet is required and available on the main IRB website. The website also includes several help options and online support to guide users through the IRBNet system and IRB regulations.

Faculty and student researchers as well as key personnel on research projects also must take a required tutorial provided by the Collaborative Institutional Training Initiative (CITI). Tutorial completion must be current within the past two (2) years. Instructions and relevant links are provided on the main IRB website noted above.

Most projects require signed informed consent from human participants. IRBNet includes informed consent form templates for research involving adults, children, and parental consent. These templates are also available in Spanish.

Once the application and required attachments are received, the Institutional Review Board Coordinator will review and determine if the research is a) exempt from review, b) can be processed through an expedited review, or c) must be reviewed by the full Human Subjects Review Board.

Research that continues beyond the IRB approval period (which is usually one year), must be approved for continuation. Researchers should file an Application for Continuing Review with the IRB office one month prior to IRB approval.
expiration. If a research project changes in terms of data collection, participants, analysis procedures, or in any other way, researchers should file a Research Amendment Form to have their changes reviewed by the IRB. Both of these forms are available within IRBNet.

The IRB is empowered to reject research that is in violation of ethical standards for human subjects. In reviewing an application, IRB may a) approve, b) provide qualified approval, c) defer for clarification or d) deny approval.

All research involving vertebrate animals, whether in laboratory conditions or in the field with non-captive animals must be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC). Participating personnel are obliged to go through training in the legal and health issues involved with animal research, and must have their research protocols reviewed and approved by the IACUC prior to beginning the research.

Research may involve other areas where the university is obligated to follow and to comply with complex regulatory requirements. Such areas include biological safety (use of biological materials), hazardous waste and chemical hygiene, radiation, select agent (pathogen) research, import/export control (including collaboration with foreign scientists), etc. The Office of Regulatory Compliance, housed within the Research Division, provides support and assistance with all these areas and more. Excellent explanatory materials, links to training, and personal contacts are available through the web site.

3.5.4 Misconduct in Research

Federal regulations require that grant and contract recipients have a policy to specify guidelines and procedures for dealing with alleged and suspected misconduct in research. The responsibility to administer this policy resides with the Vice President for Research. The policy can be accessed through the web site. All allegations or suspicions should be reported to the Vice President for Research.

3.5.5 Intellectual Property and Copyrights

The Arizona Board of Regents encourages faculty, staff, administrators, and other employees (including students) to undertake and receive recognition for their creative endeavors. In general, intellectual property created by faculty, staff and other employees (collectively "employee") is the property of the Board as provided for under current federal and state law. Benefits accruing to the Board derived from this intellectual property will be used to further the teaching or academic research programs in areas of intellectual property. NAU may patent, register, market, and license intellectual property using its own resources or through one or more intellectual property management organizations. The net income derived by the university will be shared with the creator of the intellectual property in accordance with university policy, and the remainder will be used in support of research, investigation, or research fellowships, or other activities relevant to the generation of intellectual property at NAU (ref. ABOR Intellectual Property policy 6-908).

Under the United States Code, Title 17, Copyrights, Chapter 1, Section 102, federal statutory copyright exists in “original works of authorship” fixed in any tangible medium of expression, now known or later developed, from which they
can be perceived, reproduced, or otherwise communicated, whether directly or with the aid of a machine or device.

NAU Innovations is the primary intellectual property and technology transfer office at NAU, located under the Vice President for Research. NAU Innovations support extends from the initial filing of an invention disclosure (the start of the process), through further development, possible patent or copyright protection, to potential commercialization strategies. In addition, NAU Ventures, an independent LLC housed in the NAU foundation, provides additional commercialization support to faculty and other university inventors who have created intellectual property in the course of their relationship with the university.

### 3.6 Student Affairs

Student Affairs partners with campus organizations to provide student-centered programs and services that value student learning, diversity and responsible citizenship. Refer to the Student Affairs website for additional information.

**Student Handbook**

Student Affairs oversees the Student Handbook that contains many university policies regarding students, including rules and regulations associated with student behavior. Refer to the “Student Handbook” which is available from the Student Affairs web site.

### 4. ROLE AND RESPONSIBILITY OF THE FACULTY

This section describes the roles and responsibilities of faculty in the course of their duties at Northern Arizona University. Topics covered in this section include:

- Code of Ethics and Conduct (see also ABOR policies 5-301, 5-302, 5-303, 5-304, 5-305)
- Faculty Workload
- Faculty Teaching Summer/Winter Sessions

### 4.1 CODE OF ETHICS AND CONDUCT

Northern Arizona University is an extended community of students, faculty and staff devoted to learning. Members of our community construct, advance, transmit, and preserve knowledge through study, teaching, artistic expression, research, and scholarship. As a public university, we have an obligation to serve the public interest as well. All who join this community gain important rights and accept equally important responsibilities. We believe in the principles of free expression, free inquiry, reasoned discourse, intellectual honesty, and respect for the rights and dignity of others. We respect the autonomy of each person’s conscience in matters of conviction and personal beliefs, and we affirm the importance of high standards of academic and professional integrity. The development of the Code of Ethics and Conduct has been guided by these basic principles and influenced by other works including the Statement of Professional Ethics of the American Association of University Professors (1987) and the Policy and Procedure Manuals of the Arizona State University and the University of Arizona.
1. “Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.” (AAUP, 1987). At Northern Arizona University, faculty are expected to:

- Adhere to and practice the highest standards of intellectual honesty and scholarly competence;
- Comply with standards of ethical practice established within their fields of expertise and within the academic community in general; and
- Participate in scholarship and other activities to expand their understanding and scholarly competence within their areas of expertise.

Some examples of unacceptable conduct include:

- Intentional or negligent misappropriation of the writings, research, or ideas of others through plagiarism of existing works or failure to give due credit to colleagues, students, and others involved in collaborative work; and
- Failure to comply with Conflict of Interest policy when participating in research, scholarship or other creative activities and associated funding.

2. “As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student’s true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.” (AAUP, 1987) At Northern Arizona, University faculty are expected to:

- promote and protect the academic freedom of students;
- encourage students to participate in the free exchange of ideas;
- serve as models of the ethical standards of their disciplines and the academy in general;
- make reasonable efforts to establish and maintain the standards of academic honesty in their classrooms;
- treat students with respect;
- plan assessments that provide useful and timely feedback to the students with regard to their progress within the context of course content;
- evaluate student performance in a fair and objective manner;
- promote trust and respect in relationships between students and faculty and avoid any form of exploitation of students;
- require a level of academic performance compatible with producing graduates that meet the expectations of their profession and the community;
• respect the privacy of students and maintain the confidentiality of student grades and other personal records consistent with FERPA requirements;
• adhere to university policy with respect to meeting class, holding office hours, and holding examinations as scheduled.

Some examples of unacceptable conduct include:
• denying a student access to regularly scheduled instruction in conflict of university policies;
• exhibiting a pattern of undue delay in evaluation of student work;
• discriminating against a student on the basis of race, religion, sex, sexual orientation, ethnic origin, disability, political beliefs, age, or for other arbitrary or personal reasons;
• sexual harassment, and
• use of self-authored textbooks where this use has not been authorized by the appropriate administrators.

3. “As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.” (AAUP, 1987). At Northern Arizona University, faculty are expected to:

• respect and defend the rights of their colleagues to express their professional opinions;
• provide objective and useful critiques of the professional opinions of their colleagues;
• avoid letting professional disagreement with a colleague affect the objectivity of an administrative decision affecting that colleague;
• participate in committees so as to promote the overall vitality of the academic community;
• treat colleagues with respect and ensure that the free exchange of ideas in discussion and debate is conducted in a manner consistent with maintaining that respect.

Some examples of unacceptable conduct include:
• evaluating colleagues by criteria not reflective of their professional performance;
• discriminating against faculty on the basis of race, religion, sex, sexual orientation, ethnic origin, disability, political beliefs, age, or for other arbitrary or personal reasons;
• violation of confidentiality rules governing personnel procedures and decisions;
• interfering with the academic freedom of faculty members;
• soliciting or encouraging personal criticism of others;
• using the creative achievements of colleagues without obtaining their permission and giving appropriate credit.

4. “As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated
regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.” (AAUP, 1987). At Northern Arizona University, faculty are expected to:

- follow the rules and regulations established by ABOR, and the university administration and, where such policies or regulations violate one’s ethical standards, seek changes to them through appropriate methods;
- make reasonable efforts to ensure that their personal and professional decisions do not compromise the reputation and mission of the university, their college or department;
- obey the terms of disciplinary sanctions imposed for violations of the code of conduct;
- ensure that any work conducted outside the university does not interfere with or diminish the ability to fulfill one’s responsibilities within the university.

Some examples of unacceptable conduct include:

- disobeying university rules and regulations or encouraging others to disobey university rules and regulations;
- intentionally disrupting a university-sponsored or university authorized function, activity, or event;
- unauthorized use of university resources, personnel, or facilities including computing systems and e-mail;
- using the position as a faculty member to provide support for personal or political positions;
- sexual harassment toward any member of the university community as explained in SWALE.

5. “As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom” (AAUP, 1987). At Northern Arizona University, faculty are expected to:

- comply with the lawful directions of officials charged with the maintenance of public safety;
- act as responsible, engaged members of the community, with a special awareness of the responsibilities of citizens in a free society;
- draw a clear distinction between expressing personal opinions and serving as a representative of the university and, when expressing a personal opinion, make it clear that the opinions expressed are one’s own and not those of the university.

Some examples of unacceptable conduct include:
violation of local, state, and federal laws regarding the safe handling, storage, and use of dangerous substances, machinery or weapons; the use of controlled substances (i.e. drugs); and the inappropriate use of public or private property;

• committing a criminal act or other breach of professional conduct that demonstrates lack of fitness to continue as a member of the faculty;

• intentionally misrepresenting personal opinions as official positions of the university or any of its units or agencies;

• use of the university’s name or official logos or emblems to create the impression of university sanction for a personal and/or private activity.

4.2 FACULTY WORKLOAD

Tenured and tenure-eligible faculty have a diversified workload expectation that is spread across teaching and other student-related responsibilities, including advising; scholarship/research or creative activity, including both funded and unfunded activity; and university and professional service. Some faculty members also have administrative assignments. Workload units are generally based on the concept that fifteen (15) units represent a full time faculty commitment within a semester with the expectation that a unit represents on average about three (3) hours of work per week. Assignments that exceed this fifteen unit expectation would typically be considered an overload assignment (see section 4.2.2, Overload Assignments). In assigning faculty duties, the colleges and departments recognize that laboratory and clinical development and supervision, direction of student research and independent study, administrative assignments, and research/creative activity in the interest of the university, are legitimate partial equivalents of credit-hour workload and legitimate demands upon a faculty member’s time.

Faculty in non-tenure-eligible teaching/clinical positions typically have a workload devoted to teaching and other student-related activities, with less frequent assignments in other categories. Faculty in non-tenure-eligible research positions may have a workload devoted to research with less frequent assignments in teaching and other student-related activities.

4.2.1 Unit Level Workload Policies

Every academic unit must have a workload policy that is developed by the faculty and unit administration, and approved by the faculty of the unit, chair/director, dean and provost. In addition each workload policy must include an appeal process in the event that there are disputes over the assignment of individual faculty workloads.

The workload policy should describe how assignments of teaching/student-related activities, scholarly/creative activities, and service activities are developed, and how load credit is determined for any specific assignment. In the interest of fairness and consistency of application, each unit workload policy shall attempt to recognize the variety of tasks needed within the unit, as well as how best to match faculty strengths and interests to these tasks in order to meet the overall needs of the academic unit.

In addition, the workload policy shall be consistent with the workload principles outlined in this document (see sections 4.2.3 – 4.2.5 below) for consideration of
allocation of effort regarding teaching/student-related activities, scholarly/creative activities, and service activities.

The annual performance of a faculty member is measured within the context of the Statement of Expectations; therefore annual assignments must consider approved unit and University criteria for annual review as well as tenure and/or promotion. Workload assignments are described for each faculty member annually in a Statement of Expectations that is negotiated between the faculty member and the chair or academic unit leader before the end of the academic year, to be effective for the next academic year.

4.2.2 Overload Assignments

The salary received by full-time faculty is considered to be full compensation for university-related activity during the appointment period. However, there may be occasions when a faculty member is asked to take on an activity, typically teaching an additional course, which is beyond the scope of the assignment and responsibilities agreed to in the annual Statement of Expectations. In such a situation, it may be appropriate to authorize an overload assignment for Supplemental Compensation. Authorization of an overload assignment for Supplemental Compensation must be approved in writing by the administrators designated on the approval form in advance of the activity. Additionally, faculty who receive any compensation from federal funds must have approval from all federal sponsor(s) if their FTE will exceed 1 FTE as a result of the compensation. The supplemental pay request must be reviewed and approved by the sponsor(s) and appropriate NAU administrators prior to beginning the activity. The following Supplemental Compensation forms are available from the Human Resources Forms web page:

- Supplemental Compensation Pre-approval (step 1) for FACULTY
- Supplemental Compensation Payment (step 2) for FACULTY

A faculty member may not be required to take on an overload assignment, whether for supplemental pay or any other form of compensation (e.g., reassigned time in another semester). The overload assignment must not in any manner compromise or adversely affect the performance within the responsibilities outlined in the Statement of Expectations, or the development of a record appropriate for tenure and/or promotion.

Typically, faculty members are limited to one overload course assignment per semester. Occasionally a faculty member may be requested to take on an overload assignment other than teaching, and such assignments have the same limitations. It is generally inappropriate for a faculty member teaching two courses or fewer in a semester to receive Supplemental Compensation for additional teaching. Exceptions to these limitations require workload documentation and appropriate administrative signatures.

4.2.3 Teaching and Student-Related Activity

Teaching is at the core of the mission of the University; whether in the context of undergraduate education, mentoring graduate students, training students in the professional schools, or any of the other myriad ways faculty interact with students, inside and outside the classroom. The University places great emphasis on the teaching role of faculty and strives to provide resources to
encourage and facilitate interactions between students and faculty members. Consequently, students should expect a rich and diverse learning environment. In all of their dealings with students, it is expected that faculty members will be fair and equitable, will support students in their own development within the University community, and will adhere to the highest standards of professional conduct.

The following paragraphs define teaching and other student-related activities and suggest typical workload levels for these activities. Because colleges, departments, and units vary widely in their missions and goals, no single definition will apply to all. Hence these paragraphs serve as a guideline to be used in developing departmental and college level expectations for teaching and student-related activities.

4.2.3.1 Definition of Teaching and Student Related Activities

It is the expectation of all faculty members at NAU that they teach in an effective manner. Effective teaching requires that faculty members are aware of current trends and research in their discipline.

Teaching activities include curriculum development and planning, and modifying programs and courses in order to meet the needs of contemporary students and to reflect current knowledge, research, and trends in the discipline, as well as awareness of gender and diversity issues. Faculty members are expected to establish challenging goals and provide students with appropriate learning experiences. In doing so, faculty members are expected to be receptive to new ideas and new methods, and to listen and to give serious consideration to proposals that students and colleagues make for changes.

Faculty members are expected to be knowledgeable in course organization and to assess learning in a fair and responsible manner. Faculty members collectively are responsible for assisting in the development of students’ essential academic skills including:

- critical thinking
- effective writing
- effective oral communication
- quantitative reasoning
- scientific reasoning

A faculty member’s success in fulfilling these responsibilities is one measure of the University’s success in meeting its educational mission.

Academic advising is another important student-related activity. Advising activities include guiding progress toward graduation and post-graduation planning. Advice and direction should emanate from within the professional purview of the advisor and academic unit and conform to university policies. Faculty members are expected to be familiar with current academic policies and requirements, special student needs and the resources available to address them, and faculty members’ responsibilities pertaining to these issues. Faculty members are not expected to make judgments or offer conclusions about medical, psychological, or social problems being experienced by students, rather, should refer the student to the appropriate service.
Faculty members are expected to post and maintain specific office hours that afford students opportunities to acquire assistance and counsel. Advising should also include maintaining advisor notes in student records.

In addition to classroom teaching and academic advising, there are other forms of student-related activities that might be a part of a faculty member's workload (e.g., student mentoring, student research supervision, recitation sections).

4.2.3.2 Guidelines for Workload Policies for Teaching and Student-Related Activities

The proportion of individual faculty time devoted to instruction must be flexible in order to meet university needs and effectively utilize faculty skills. Tenured and tenure-eligible faculty members will normally be assigned to 50 to 70% of their workload for teaching and student-related activities. Non-tenure eligible faculty members will normally have 80 - 100% of their workload assigned to teaching and student-related activities if they are in teaching or clinical positions. Academic advising is normally considered a teaching/student-related activity.

In order to provide some consistency in the equitable application of workload policies throughout the University while recognizing the wide variation in the types of teaching and student-related activities that occur in different academic units, it is suggested, for example, that each unit might use such guidelines as “teaching a three-hour course typically equates to about 20% of one’s semester workload (or 10% on the AY workload), taking into consideration the class contact time, preparation, meeting with students, evaluation of student performance, and the like.”

However, variations in the circumstances of instruction that affect the amount of time and effort required to effectively teach a course should be considered when determining workload. Examples of these circumstances may include but are not limited to:

- number of students
- multiple sections
- extent of travel required for teaching or supervision
- number of teaching assistants or clinical instructors to orient and coordinate supervision of student teacher and other student fieldwork
- developing and coordinating clinical and field work site
- teaching with technology
- co-convened course (graduate and undergraduate)
- Honors Program course
- individualized instruction
- capstone course
- supervise thesis or masters project and/or dissertation
- writing intensive course without a reader grader
- studio classes
- courses in emerging areas of knowledge and practice
- course delivery mode
- development, design and teaching a new course
- major course revision, including redesign for the web
standards for accreditation that may govern teaching/student-related activities

Any adjustments to teaching load based upon these responsibilities should be proportional to the workload required to complete them and must be documented in the faculty member’s Statement of Expectations.

4.2.4 Scholarly/Creative Activity

Scholarly and/or creative activities comprise an important part of tenured and tenure-eligible faculty workloads and serve as vital contributions to the mission of Northern Arizona University. Scholarly and/or creative activities enhance teaching, advance knowledge, contribute to public service, enrich educational and research opportunities, and provide a training forum for undergraduate and graduate students alike. Faculty members are promoted and tenured because they have distinguished themselves as both teachers and scholars and show evidence that they will continue to contribute at high levels to scholarship, research, teaching, and service. NAU’s exemplary teacher-scholar model implicitly recognizes the synergy and mutuality of these combined intellectual endeavors.

The following paragraphs define scholarly and/or creative activities and suggest typical workload allocations for these activities. Because colleges, departments, and units vary widely in their goals and missions, no single definition or workload allocation will apply campus wide. Hence, these paragraphs serve only as guidelines to be used in developing departmental and college-level expectations for scholarship. The guidelines are aimed at 1) facilitating tenure/promotion success among tenure-track faculty and 2) encouraging sustained scholarly activities among tenured and other faculty.

4.2.4.1 Definition of Scholarly/Creative Activities

Scholarly and/or creative activities are activities that lead to tangible, original works, performances, or other contributions. In turn, these works expand the knowledge base of their respective disciplines, extend the discipline into new fields of application, and/or improve teaching in their discipline by the dissemination of pedagogic scholarship.

Results of scholarly and creative endeavors must be made available to students, colleagues, and the general public. The forms of dissemination are many, varied, and changing and include print and web-based journal articles, monographs, books, edited volumes, chapters in books, poster presentations, presentations at professional meetings, presentations at regional or local meetings, development of new curricula, publication of instructional improvements or new methodologies, review, performance, and professional exhibitions. Scholarly recognition may come from invited presentations, awards in juried exhibitions, submission and funding of competitive grants, fellowships, invited participation on national panels, election to executive boards of professional organizations, invitations to join editorial boards of scholarly journals, and awards from professional organizations.
4.2.4.2 Guidelines for Workload Policies for Scholarly/Creative Activities

Faculty members with research, creative, and/or scholarship expectations should, whenever possible, have three hours of credit hour workload a semester devoted to such endeavors. Normally the workload for full-time, tenured or tenure-eligible faculty will not fall below 20% of their workload allocation effort on research and/or creative activity.

Faculty members who are active and productive in their fields are normally assigned between 20 to 50% allocation of effort for scholarly and/or creative activities. The unit may permit formal “buy-out” or additional assignment of effort to scholarly/creative activity in exchange for AY salary from a grant or contract on a limited basis, with the exception of sabbaticals (See COFS 1.7.1). Allocation of scholarly effort at 100% should only occur in the case of sabbaticals, but can also be negotiated with the chair or unit director, FSC, and dean as determined by specific departmental needs and missions.

The following factors may be considered when deciding on appropriate workload allocations for scholarly and/or creative activities:

- Statement of Expectations of the faculty member, including requirements for promotion and/or tenure
- Participation in externally funded and/or non-funded activities
- Participation in graduate (MA, MS, PhD) versus undergraduate programs
- Participation in administrative responsibilities
- Prior productivity (e.g., to promote sustained high levels of productivity)

4.2.5 Service Activity

Service activities, together with teaching/student-related activities and scholarship/creative activities, constitute the three core responsibilities of a public university. To this end, the University promotes and supports active contributions to service by its faculty. Service contributions take place both within the University (at departmental, College, and University levels) and outside of the University (at professional and community levels). Service to community groups and to local, state, national, and international governmental groups not only provides these organizations with faculty expertise but also helps to fulfill the University's mission of service to the State of Arizona and beyond. These various service activities are consistent with expectations defined by ABOR Policy 6-201, section G and the NAU Conditions of Faculty Service, section 1.4.5.1).

Faculty service on unit and University committees and participation in administrative tasks is essential to the effective functioning of the University, as is the mentoring of junior faculty colleagues. Thus, the scope of Northern Arizona University's activities makes it appropriate for members of the faculty to engage in many activities in addition to their responsibilities to teaching/student-related and scholarly/creative activities.

4.2.5.1 Definition of Service Activities

Service activities typically include participation in unit and University committee work and other administrative tasks. In addition, faculty may perform service activities for schools, industry, local, state, and national agencies, and for the public at large. Leadership of professional organizations and participation in other
professional activities such as reviewing works submitted to professional journals or conferences or serving on professional editorial boards are also important to the mission of the University, as well as to the advancement of one's profession or discipline.

The University recognizes the importance of faculty service activities that promote and support cultural diversity within the University. Faculty members are also expected to participate in the life of the University by attending various activities on campus or in the community, and University-wide functions such as commencement, school/College convocations, and department/College/University colloquia. Many faculty are also directly involved in activities that promote the recruitment and retention of students.

### 4.2.5.2 Guidelines for Workload Policies for Service Activities

Consistent with meeting the various needs of the University, service obligations typically range from 10-20% of the annual faculty workload overall. The specific distribution and evaluation of these efforts is left to the discretion of each academic unit as described in its statement of criteria and standards for retention, promotion, and/or tenure and the unit workload policy. Faculty members are expected to provide appropriate documentation of their service activities, including level of involvement and accomplishments, in their portfolio for the annual review of their performance.

### 4.3 Faculty Teaching Summer and/or Winter Sessions

Northern Arizona University offers both summer and winter programs designed to meet the educational needs of the full-time student body and part-time students. Traditional and on-line courses as well as workshops of a special nature are offered in several calendar formats. Faculty members are not guaranteed assignments for summer and/or winter sessions.