



**BY-LAWS OF THE
UNIVERSITY OF CONNECTICUT**

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PREAMBLE

The University of Connecticut is the state's premier public university with a reputation for excellence in all of its missions: teaching, research, and service, including clinical care and outreach. It has highly-qualified and successful students, excellent undergraduate, graduate, and professional programs, and a strong research portfolio. As a research-intensive university, it prizes excellence not only in teaching and learning, but also in scholarly endeavor, scientific research, and artistic production. As a land and sea grant institution, it is committed to active engagement with the larger community. The University continuously aims to become a more inclusive institution that explicitly promotes respect and understanding, broadens participation among under-represented groups, advances cultural competence, celebrates intellectual openness and multiculturalism, and welcomes varied perspectives, experiences, and backgrounds. In its goal to be recognized as one of the nation's top public research universities, the University of Connecticut's policies, processes, and standards of performance in all of its missions should be comparable to those among which it aspires to be ranked. The University of Connecticut By-Laws and those of its constituent units should be interpreted and applied in this light and should also be regularly assessed to ensure that they are commensurate with those of the nation's top public research universities.

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ARTICLE I – Board of Trustees

The functions of the Board of Trustees are legislative and not executive. The Board appoints the President; determines the general policy of the University, including the establishment of new schools and colleges; makes laws for its government; manages its investments; and directs the expenditure of funds. It shall be the duty of each Trustee to participate in all meetings.

ARTICLE II – Organization of the Board of Trustees

- A.** The corporate authority of the University of Connecticut is vested in a Board of Trustees.
- B.** Election of the Secretary to the Board and the Chairs of the standing and special committees shall be conducted at the first meeting of the Board on or after July 1 in each year. If between annual elections there is established a new special or standing committee, or a vacancy is created, the Board Chair shall appoint a Chair/Secretary on an acting basis, such appointment to be effective immediately. The appointment is subject to Board confirmation at its next regularly scheduled meeting.
- C.** The yearly schedule of regular meetings of the Board of Trustees shall be filed in advance in the Office of the Secretary of the State, as required by Statute. Prior written notice of any change in the scheduled time or location of a regular meeting shall be published and filed as required by Statute.
- D.** Special meetings of the Board of Trustees shall be called by the Chair upon the request of at least five members.
- E.** A written notice of regular meetings shall be sent to each member at least one week before the date set for the meeting.

Special meetings may be held no less than twenty-four hours after officially requested. Notice of special meetings shall specify the time and place of the meeting and the business to be transacted. Written notice of special meetings must be delivered to each Board member prior to the special meeting.

Emergency meetings may be convened at any time without formal notice requirements.

- F.** A majority of the current membership of the Board shall constitute a quorum for the transaction of all business.
- G.** Ordinarily, the last Board meeting of the spring semester shall be the regular meeting for the recommendations by the Provost and Executive Vice President for Academic Affairs for promotion of faculty members and for the award of academic tenure. Appointments to positions not leading to tenure and reappointments of those in probationary positions do not require prior action by the Board, but will be reported to them.

ARTICLE III – Rules of Procedure and Order of Business of the Board of Trustees

- A. General parliamentary rules, except as modified by the rules and regulations of the Board, shall be observed in conducting the business of the Board in session. Members may participate in Board and Committee meetings by speakerphone.
- B. So far as practicable, the order of business for regular meetings of the Board shall be set by the Secretary to the Board and shall follow a standard format.
- C. Recommended adjustments to tuition and fees shall be developed and presented to the Board for action during the academic year. Prior to making such recommendations, the process shall provide an opportunity for campus community comment upon the recommended actions.

D. Public Participation

The Board shall hear brief oral presentations from members of the public who wish to express views on issues pending before the Board or on other issues of concern to the University. The agenda for each regular public meeting of the Board shall allot up to a total of thirty minutes for this purpose:

1. Requests to address the Board shall be made to the Chair or the Executive Secretary of the Board prior to the public meeting. In signing up to address the Board, each speaker shall specify the topic on which he/she wishes to remark.
2. The Chair of the Board shall recognize each speaker in the order of signing up, shall request proper identification, and shall use discretion in requiring adherence to such individual and total time limits as will permit the orderly progress of the Board through its agenda.
3. At a special meeting of the Board, comment by members of the public shall be limited specifically to the subject described in the call of the special meeting.

ARTICLE IV – Officers of the Board of Trustees

- A. The officers of the Board of Trustees, apart from the Governor, who is President *ex officio*, shall be a Chair, Vice-Chairs, and a Secretary.
- B. **The duties of the Chair shall be as follows:**
 1. To call special and emergency meetings of the Board when necessary.
 2. To preside, in the absence of the Governor, at all meetings.
 3. To nominate the chairs of all special and standing committees. Members of all such committees shall be selected by the Board Chair in consultation with the chair of the special or standing committee.

The Chair is privileged to make or discuss motions and to vote on all questions.

C. The chairs of all standing committees shall be designated vice-chairs of the Board of Trustees. At the Board's annual organization meeting, the Chair of the Board of Trustees shall designate a vice-chair who shall act for the Chair of the Board of Trustees in case of his/her absence or incapacity.

D. The duties of the Secretary shall be as follows:

1. To notify all members of the Board of Trustees of all regular meetings at least one week in advance.
2. To call meetings of the Board in the absence of the Chair and vice-chair designated by the Chair to act in his/her absence.
3. To call meetings of the Board in case the Chair fails to do so, upon receipt of a request of at least five members of the Board.
4. To keep a record of all meetings and transmit a copy of the minutes of each meeting to every member of the Board at least one week prior to the next meeting.

ARTICLE V – Committees of the Board of Trustees

A. The Board shall act as a committee of the whole on all matters requiring action with the exception of those listed in items B, C.1., D, and E below.

B. Executive Committee

1. *Membership*

The Executive Committee shall consist of the Board Chair and the chairs of all the Board's standing committees. The President shall serve as an *ex officio* nonvoting member. The Chair of the Board shall chair this committee. A simple majority shall constitute a quorum. Approval by members comprising a majority of a quorum shall comprise committee action. It shall meet at such times as deemed necessary by the Chair.

2. The Executive Committee shall exercise in emergencies all the authority of the Board of Trustees, consistent with the policies of the Board or with any action taken earlier by the Board. For purposes of executive committee action, a matter shall be deemed an emergency circumstance when delaying action until the full Board's next meeting could result in significant risk, expense, or disruption to the University or its operations.

3. The committee shall not preempt the Board except in those emergency circumstances that do not permit the handling of a matter in the normally prescribed manner by the Board, and shall report to the full Board any action taken at the next regular meeting of the Board.

C. The Board may establish standing committees and special committees with such mandates as the Board shall determine. A simple majority of the members of each committee shall constitute a quorum. Approval by members comprising a majority of a quorum shall

comprise committee action. Special committees shall be discharged when and as determined by the Board.

1. The standing committee charged with review of matters related to buildings, grounds, and environment may take action on behalf of the Board under emergency circumstances when delaying action until the full Board's next meeting could result in significant risk, expense, or disruption to the University or its operations. Such actions shall be reported to the full Board at its next regular meeting.
- D.** The committee of the Board of Trustees having cognizance over financial matters is authorized to buy and sell securities and the Chair of this committee is authorized to instruct the Executive Vice President for Administration and Chief Financial Officer or the University Controller to execute the necessary assignment.
- E.** A standing committee shall be established with jurisdiction over the University of Connecticut Health Center, the Schools of Medicine and Dental Medicine and the John Dempsey Hospital, and its core administrative units.
1. The name of the committee will be "Board of Directors of the University of Connecticut Health Center."
 2. *Authority*
 - a. The Board of Directors is authorized to approve the following:
 - i. Grants, contracts, and indemnifications.
 - ii. Compensation plans and labor contracts.
 - iii. Faculty promotion, tenure, reappointments, emeritus status and sabbatical leaves.
 - iv. Medical staff appointments.
 - v. Adjudication of all issues including, but not limited to, faculty grievances related to award of promotion, tenure, reappointments, compensation, and merit or incentive pay.
 - vi. Staffing levels.
 - vii. Business contracts and arrangements.
 - viii. General operating policies and by-laws related to operations, administration, and clinical affairs.
 - ix. Space allocations.
 - x. Strategic planning.
 - xi. New academic programs or the elimination of academic programs.

- xii. Changes in by-laws of the Schools of Medicine and Dental Medicine.
- b. The Board of Directors will act in an advisory capacity to the Board of Trustees in the following areas:
 - i. Annual operating budget.
 - ii. Annual capital budget.
 - iii. Changes in the fundamental mission of the University of Connecticut Health Center.
 - iv. Development and fundraising program.
 - v. Declaration of fiscal exigency, closure of academic departments, and/or changes in policies related to tenure.
 - vi. Any areas set forth in state statute that specifically require the Board of Trustees to act as a committee of the whole.

3. *Membership*

The Board of Directors of the University of Connecticut Health Center shall have 18 members.

a. *Terms*

With the exception of the President of the University, the Secretary of the Office of Policy and Management, and the Commissioner of the Department of Public Health, members will serve for three-year staggered terms. Members may serve a maximum of three full terms as a regular member plus a maximum of two additional terms when serving as an officer. Initial appointment to fill the balance of a vacant term shall not count toward the maximum of three full terms. Officers will include the Chair, Vice-Chair, Secretary, and Treasurer. Upon the expiration of the term of a member, the member shall continue to serve until a successor is appointed and accepts.

b. *Appointment process*

- i. One member appointed by the Chair of the Board of the Trustees. This member will chair the Board of Directors.
- ii. Two members from the Board of Trustees appointed by the Chair of the Board of Trustees.
- iii. The President of the University. This appointment runs co-terminus with the position of the President.
- iv. Three members appointed by the Governor.
- v. The Secretary of the Office of Policy and Management or a deputy undersecretary designated by the Secretary. This appointment runs co-terminus with holding the position of Secretary.

- vi. The Commissioner of the Department of Public Health. This appointment runs co-terminus with holding the position of Commissioner.
- vii. Nine additional members to be selected by a nominating committee. The members of the nominating committee will be chosen by the Board of Directors and shall include the Chair of the Board of Trustees and the Executive Vice President for Health Affairs as voting members.

4. *Subcommittees*

The Board of Directors may establish standing subcommittees or ad hoc committees as needed.

a. Membership

- i. The Board of Directors shall appoint the members of its subcommittees.
- ii. With the exception of the Peer Review Committee, a minimum of one-half of the voting membership shall be comprised of Board of Directors members.
- iii. The Board of Directors may appoint non-voting members to its subcommittees.

b. Peer Review Committee

- i. The Peer Review Committee will also be known as the “Joint Conference Committee.”
- ii. The sole topics of discussion shall be those that require confidentiality protection.
- iii. Peer Review Activities
The Board of Directors functions in some of its activities as a Medical Review Committee conducting peer review as defined in Chapter 368a of the Connecticut General Statutes, as amended from time to time. When acting as a Medical Review Committee, the Board reviews and acts on reports or recommendations from peer review committees of the hospital or medical staff and participates in the evaluation of the quality and efficiency of health care services ordered and performed, including, but not limited to, review of the credentials, qualifications and activities of medical staff members, or applicants; evaluating and improving the quality of health care services rendered; analyzing clinical practices within the hospital; reviewing studies of utilization and medical audits; reviewing studies of morbidity and mortality; and reviewing analysis of sentinel events or potential claims. When the Board, or its officers, committees or subcommittees on its behalf, participate in these or similar studies, reviews, discussions, and actions, the Board is a Medical Review Committee conducting peer review. Proceedings of such peer review activities conducted by the Board, including data and information gathering, analyses, and reporting by authorized individuals for the primary purpose of these peer review activities, as well as minutes and other documents from meetings or portions of meetings addressing peer review, shall be kept strictly confidential.

iv. Reports of the Peer Review Committee shall be presented to the Board of Directors in executive session only.

c. Authority of subcommittees

The subcommittees will report to the Board of Directors. The Board of Directors may delegate selected duties and authority as it deems necessary and appropriate to a subcommittee if such authority is approved at any regular meeting of the Board of Directors by a recorded majority vote.

F. Membership on Committees other than the Board of Directors of the University of Connecticut Health Center

1. The Board of Trustees may appoint individuals who are not Trustees to be voting or non-voting members of its committees provided that a majority of the voting membership of all committees shall be comprised of Board of Trustees members. The Board may specify a term for any such appointments.
2. As to any Board action which is permitted to be taken by a committee of the Board on behalf of the Board, the presence of a quorum for such matter and the vote on any such matter will be determined on the basis of only the Trustee members of the committee.
3. The trustee elected by the undergraduate students will be appointed as a voting member of the standing committee having cognizance over financial matters. Upon the recommendation of the Undergraduate Student Government of Storrs, the Associated Student Government of Avery Point, the Undergraduate Student Government of Hartford, the Student Government Association of Stamford, and the Associated Student Government of Waterbury, the board shall appoint two undergraduate students as voting members to the standing committee having cognizance over student life matters. This paragraph three shall be null and void if the number of student trustees on the board is greater than two.

ARTICLE VI – President of the University

- A. The President is the chief executive of the University. In this capacity, the President is responsible for carrying out and enforcing all policies and regulations adopted by the Board for the operation of the University and is given authority requisite to that end.
- B. The President may participate in all discussions in Board meetings, but shall not vote. The President is an *ex officio* member of all committees of the Board, but shall not vote.
- C. **The duties of the President shall be as follows:**
 1. To attend all meetings of the Board except when the Board requests otherwise.
 2. To submit to the Board from time to time such recommendations and information concerning any phase of University policy or administration as may seem necessary to the best interests of the University.

3. To appoint, direct, and guide those members of the University staff who report to him/her.
4. To call and preside over meetings of the University Senate.
5. To oversee the development, implementation, and regular updating of the University's Strategic Plan.
6. To appoint such committees as he/she deems necessary and define their duties.
7. To act as the official medium of communication between the Board of Trustees, University officers, and staff members.
8. To sign diplomas of students certified for graduation.
9. To summarize and coordinate the budget estimates submitted by schools, colleges, divisions, and departments, and in consultation with the Provost and Executive Vice President for Academic Affairs and the Vice Presidents, prepare a budget adjusted to the income and the needs of the University.
10. To preserve at the University all papers and records ordered on file by the Board.
11. To present to the Board for prior approval the annual budget for each fiscal year.
12. To be the official representative of the Board of Trustees in all matters affecting the University which come before the General Assembly.
13. To be the official representative of the Board of Trustees in all matters affecting the University, which involve other departments of State Government or relations with the Federal Government.
14. To provide leadership in external relations, development, and fundraising.
15. To prepare such reports as are required by the Board, the State, and the Federal Government.
16. To make such organizational changes in University structure as does not affect degree programs or majors and report these matters to the Board at the next Board meeting. All actions involving the degree programs and the structure of schools and colleges will be brought to the Board for approval.

D. The Division of Athletics is directly responsible to the President

It is the function of the Division of Athletics:

1. To organize and carry out programs of athletic sports activities intended to meet the health and recreational needs of students and staff members.
2. To cooperate with the Department of Student Health Services in determining the students whose athletic and sports activities should be especially restricted.

3. To foster athletic and sports activities in line with good health and citizenship between this institution and competing institutions and in the whole area of public relations.
- E. The President shall consult with the senior officers of the University and such other members of the administration as he/she may convene, on matters of University policy and procedure as he/she feels appropriate.

ARTICLE VII – The Provost and Executive Vice President for Academic Affairs, the Executive Vice Presidents, and the Vice Presidents

- A. The Provost and Executive Vice President for Academic Affairs, the Executive Vice Presidents, and the Vice Presidents report to the President. They shall give direction and assistance to the deans and directors with respect to their administrative duties and shall accept such other responsibilities as may be assigned to them by the President.

B. Provost and Executive Vice President for Academic Affairs

1. The Provost and Executive Vice President for Academic Affairs (hereafter referred to as ‘the Provost’) is the chief academic officer and in this capacity, is responsible for managing the academic operations of the University. He/she also coordinates the formulation of policies and administration of all schools, colleges, divisions, institutes, and regional campuses of the University.

2. *The Provost shall:*

- a. Serve as Acting President in the absence of the President and be a member of the President’s cabinet.
- b. Attend all meetings of the Board of Trustees, except when the Board requests otherwise. He/she may participate in discussions, but shall not vote.
- c. Appoint those members of the University faculty and staff who report to him/her.
- d. Preside at meetings of the Council of Deans.
- e. Be a member of the University Senate; preside in the absence of the President at its meetings; interpret in collaboration with the President its By-Laws, rules, and regulations; administer its rules and regulations in consultation with the Senate; and the Provost, or his/her designee, be a member of all its standing committees.
- f. Be a member of the faculties of all Schools and Colleges.
- g. Be responsible for University catalogs.
- h. Conduct such studies and promote such activities in the University in those components of the University under his/her supervision, as will result in effective educational and research programs.

- i. Disseminate among members of the University faculty and staff such information as will promote the understanding, integration, and coordination of the education program of the University.
- j. Approve the selection and adjustment in service of all personnel under his/her jurisdiction and make recommendations for promotion and/or tenure to the Board of Trustees or the Board of Directors, as appropriate.
- k. Eliminate so far as possible unnecessary overlapping and duplication in the offerings, functions, and services of the academic parts of the University.
- l. Evaluate the effectiveness of personnel in the teaching, research, and administrative programs.
- m. Assist deans and directors of divisions in preparing budgets and recommend budgets and budget adjustments for the several schools, colleges, and divisions to the President.
- n. Serve as the appellate tribunal for students or staff members in appeals from decisions of deans or directors. The Provost, or his/her designee, shall serve as the appellate tribunal for decisions made within the parameters of the *Student Code of Conduct*, which would result in the suspension or expulsion of a student.
- o. Arrange the schedule for regular meetings of the faculties of schools and colleges and preside at such meetings.
- p. Interpret the by-laws, rules, and regulations of the schools and colleges.
- q. Direct the assignment of all plant facilities, including buildings, offices, classrooms, laboratories, equipment, and land, and establish uniform rules pertaining to their proper use for all areas under his/her jurisdiction.
- r. Direct the negotiation and administration of faculty collective bargaining agreements in collaboration with the Executive Vice President for Administration and Chief Financial Officer.
- s. Provide executive leadership for the University's information technology initiatives and organization.

C. Executive Vice President for Health Affairs

The Executive Vice President for Health Affairs may also be the Dean of the School of Medicine. He/she is the executive director of the University's Health Center and chief operating officer, except for those operations that report to the Provost, subject to policies established by the Board of Trustees. At all times, he/she is responsible and accountable to the President for the implementation and execution of administration at the University Health Center.

1. The Executive Vice President for Health Affairs is the coordinator of the University's programs of health care performed by the University Health Center, including the Schools of Medicine and Dental Medicine, and the John Dempsey Hospital. He/she is responsible to the President for the coordination and formulation of policies and administration of administrative, business, budget, finance, and other support departments of the University Health Center.
2. *The Executive Vice President for Health Affairs shall:*
 - a. Be a member of the President's cabinet.
 - b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions, but shall not vote.
 - c. Appoint those members of the University staff who report to him/her.
 - d. Be a faculty member in the Schools of Medicine and Dental Medicine.
 - e. Approve the selection and adjustment in service of all personnel under his/her jurisdiction.
 - f. Assist in preparing budgets and recommend budgets and budget adjustments for those units that report to him/her.
 - g. Be responsible for all monies and funds of the University Health Center regardless of their source. He/she shall make provision for the safekeeping of such monies and funds and an accurate accounting of their receipt and expenditure.
 - h. Submit regular reports to the President and to the Board of Trustees showing the financial condition of the University Health Center and all of its constituent parts and submit an annual statement showing the assets and liabilities of the various funds of the University Health Center.
 - i. Make such reports to the State Comptroller or to other State or Federal officials as may be required on the inventories, property, and financial operations of the University Health Center.
 - j. Serve as the appellate tribunal for staff members in appeals from decisions of staff supervised by him/her.
 - k. In collaboration with the Executive Vice President for Administration and Chief Financial Officer, supervise the negotiation of collective bargaining agreements for the faculty and the professional staff at the University Health Center and coordinate the carrying out of the Board of Trustees' responsibilities under those contracts.
 - l. Direct the assignment of all plant facilities, including buildings, offices, classrooms, laboratories, equipment, and land, and establish uniform rules pertaining to their proper use for all areas under his/her jurisdiction.

D. Executive Vice President for Administration and Chief Financial Officer

1. The Executive Vice President for Administration and Chief Financial Officer is the chief administrative and financial officer of the University. This position reports to the President.
 - a. He/she is responsible for overseeing long-range financial planning and management of the operating and capital budgets for all units of the University. Working closely with the Provost, the Executive Vice President for Health Affairs, and the other Vice Presidents, the Executive Vice President for Administration and Chief Financial Officer oversees capital and operating budget development, monitoring, and reporting; coordinates operating and capital budgets in conformity with policies set forth by the Board of Trustees; develops financial policy and plans; serves as point of contact for external agencies and partners on financial matters; acts as the President's representative on financial matters to University units and constituencies; and generally promotes the financial health and stability of the University.
 - b. He/she is responsible for overseeing construction, renovation, operation, logistics, and security of the University's physical plant; human resources, labor relations, and payroll; purchasing; business services; and public and environmental safety. He/she is responsible for the formulation of strategy and policies to ensure effective administration, sound business practices, safety and regulatory compliance within these areas in conformity with policies established by the Board of Trustees; serves as the University's point of contact for external agencies and partners on business and operational matters; acts as the President's representative on business and operational matters to University units and constituencies; and generally promotes the operational excellence of the University.
2. *The Executive Vice President for Administration and Chief Financial Officer shall:*
 - a. Be a member of the President's cabinet and the University Senate.
 - b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions, but shall not vote.
 - c. Approve the selection and adjustment in service of all personnel under his/her jurisdiction.
 - d. Assist the President in the preparation of the University budget and coordinate the activities of the Provost, the Executive Vice President for Health Affairs, the Vice Presidents, and other University officers in preparation of those components of the budget that are under their jurisdiction.
 - e. Be responsible for all monies and funds of the University, regardless of their source. He/she shall provide for the safekeeping of such monies and funds and keep an accurate accounting of their receipt and expenditure.

- f. Ensure the timely completion of combined University of Connecticut financial statements. Submit regular reports to the President and, through the President, to the Board of Trustees showing the financial condition of the University and all of its constituent parts and submit an annual statement showing the assets and liabilities of the various funds of the University.
- g. Make such reports to the State Comptroller or to other State or Federal officials as may be required on the inventories, property, and financial operations of the University.
- h. Manage and coordinate the University's responsibilities pertaining to bond financing of capital projects.
- i. Provide support to the President, the Provost, the other Vice Presidents, and those reporting to the Office of the President by providing fiscal planning, coordination, and financial analysis.
- j. Oversee or monitor the execution of major financing agreements.
- k. Administer such support units of the University as the President may designate.
- l. Assist the President in preparation of strategic and tactical operations, plans and initiatives, and coordinate the activities of the Provost, the Executive Vice President for Health Affairs, and the other Vice Presidents in the preparation of similar plans for operational units that are under their jurisdiction.
- m. Supervise the negotiation of collective bargaining agreements with all professional staff of the University and coordinate the carrying out of the Board of Trustees' responsibilities under those contracts.
- n. Be responsible for the development, renovation, maintenance, and safekeeping of the physical assets of the University, regardless of their source.
- o. Manage and coordinate the University's responsibilities pertaining to construction and renovation of facilities.
- p. Direct the University's purchasing and contracting programs.
- q. Provide support to the President, the Provost, the Executive Vice President for Health Affairs, and the other Vice Presidents in development of operational strategy, planning, coordination, and analysis.

E. Vice President for Student Affairs

- 1. The Vice President for Student Affairs is the chief student personnel officer of the University, and supervises the work of the Division of Student Affairs and the Division of Health Services, and reports to both the President and the Provost.

2. *The Vice President for Student Affairs shall:*

- a. Be a member of the President's cabinet and the University Senate.
- b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions, but shall not vote.
- c. Approve the selection and adjustment in service of all personnel under his/her jurisdiction.
- d. Assist deans, directors, and department heads in preparing budgets and recommend budgets and budget adjustments in his/her area to the Provost.
- e. Serve as an appellate agency for students or staff members in appeals from decisions of deans or department heads supervised by him/her.

F. Vice President for Research

1. The Vice President for Research is the University's chief research officer, reporting jointly to the President and Provost. Working closely with the President and the Provost, as well as other Vice Presidents and deans, the Vice President for Research is responsible for the research enterprise and the coordination of research-related operations across the University of Connecticut (i.e., its regional campuses, School of Law, School of Social Work, Graduate Business Learning Center, and University of Connecticut Health Center, including the School of Medicine and the School of Dental Medicine). The Vice President for Research oversees the Research Foundation, consistent with State Statute. He/she oversees the disbursement of funds acquired by the foundation from any source, for purposes of instruction, research, invention, discovery, development, or engineering for the dissemination of information related to such activities and for other purposes approved by the Board. The responsibilities of the Vice President for Research include compliance functions, sponsored programs, internal funding programs, animal research services, as well as overseeing several university research centers.

2. *The Vice President for Research shall:*

- a. Be a member of the President's cabinet and the University Senate.
- b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions, but shall not vote.
- c. In consultation with the President, Provost, and the Executive Vice President for Health Affairs, approve the selection and adjustment of service of all personnel under his/her jurisdiction.
- d. Provide executive leadership for the University's research initiatives, including working with the President, Provost, the Executive Vice President for Health Affairs, and other Vice Presidents to create, implement, and regularly assess progress on a University-wide research agenda.

- e. Administer such centers and institutes related to research as the President, Provost, and the Executive Vice President for Health Affairs may designate.
- f. Act as an advocate for the University's research enterprise and economic development initiatives to constituencies inside and outside the University.
- g. Manage the University's responsibilities pertaining to regulatory compliance in research activities.
- h. Oversee the execution of research grants and contracts.
- i. Oversee policies and administration of the University of Connecticut Research Foundation.

G. Other Vice Presidents

The President may establish other Vice President positions and define the duties of such positions in the best interest of the University. The President shall report the establishment of such positions to the Board.

ARTICLE VIII – The University Administration

The administration of the University is determined in part by legislative enactment, in part by the Laws and By-Laws of the Board of Trustees, and in part by regulations made by the President, the University Senate, and the several faculties.

A. Officers of Administration

- 1. *Central*
 - a. President
 - b. Provost
 - c. Executive Vice Presidents
 - d. Vice Presidents
- 2. *Schools, Colleges, Divisions, Institutes and Centers, and Departments*
 Each school, college, division, institute, and center shall have a dean or director. Each department shall have an executive officer (the head or chair).

Each administrative officer shall submit to the President such reports as are requested by the President.

B. The Council of Deans

- 1. The Council of Deans shall consist of the deans of the schools and colleges, and such others as the Provost deems appropriate. The Provost shall convene the Council.

2. The Council shall provide a forum in which the members may discuss matters of common interest.

C. The Trustee-Administration-Faculty-Student Committee

1. Membership

The Trustee-Administration-Faculty-Student (TAFS) Committee shall consist of the members of the committee of the Board of Trustees having cognizance over academic matters; the President; the Provost; the Vice Presidents; the members of the Senate Executive Committee; the President, Undergraduate Student Government of Storrs; the President, Associated Student Government of Avery Point; the President, Undergraduate Student Government of Hartford; the President, Student Government Association of Stamford; the President, Associated Student Government of Waterbury; the President, Student Union Board of Governors; the Chair, Residence Hall Advisory Board; the President, Graduate Student Senate; and such other individuals serving in a non-voting capacity as may be designated.

The Chairperson of the TAFS Committee shall be chosen by the Committee at its first meeting each academic year.

2. Functions

The TAFS Committee shall serve as a conference committee to facilitate communication among the groups represented thereof, and shall serve as an advisory body to the Board of Trustees on matters where Board action is requested by faculty or student groups and on any others matters that the Board deems appropriate.

3. The TAFS Committee shall meet at least once a year with the first meeting called by the President. Subsequent meetings shall be convened by the chairperson of the TAFS Committee when he/she deems it necessary or at the request of constituent unit members.

ARTICLE IX – The University Senate

There shall be a University Senate that shall be a legislative body for the purpose of establishing minimum rules and general regulations the educational program and mission of the institution, excluding the University of Connecticut Health Center, that are not reserved to the Board of Trustees, to the administration, to the Graduate Faculty Council, or to the several faculties. The University Senate shall be regularly consulted by the Administration on matters pertaining to the Senate's purview.

A. Membership

The University Senate shall consist of *ex officio* and elected members. The *ex officio* members shall be the President, the Provost, all Vice Presidents, except the Executive Vice President for Health Affairs, and all Vice Provosts. These *ex officio* members shall not vote.

The Senate shall contain one-hundred four elected, voting members, as follows:

1. Three deans of the schools and colleges, which are Senate electoral constituencies (see Section B below).
2. Seventy-two members of the faculty elected according to one or the other of the two faculty electoral processes described in Section B.2. below.
3. Seventeen professional staff members elected by and from the constituencies described in Section B.3. below.
4. Nine undergraduate students (see Section B.4 below).
5. Three graduate students (see Section B.5. below).

B. Elections

The election of faculty and other staff members to the Senate shall normally be held between October and March and shall be conducted by secret ballot. A minimum of one week, excluding time when the University is in recess, shall be allowed between the distribution and collection of ballots for Senate elections. Those elected shall take office on July 1. All elections shall be in the charge of the Senate Executive Committee and the returns shall be certified by two inspectors of election selected by the Senate.

In any Senate election, persons eligible for election who feel unable to serve shall be given an opportunity to withdraw their names from the list of candidates for nomination. The names of those persons who have withdrawn, as well as the names of persons who are completing two consecutive terms, shall be indicated on the nominating ballot.

After the election, the number of votes received by those persons who were elected and the number of votes received by nominees who were not elected must be kept on file in the Senate Office.

The Senate Executive Committee shall retain on file the number of votes cast for each candidate in each constituency for each annual class whose term has not expired, and shall designate the available candidate with the highest vote at the last previous election in the proper constituency as the alternate to replace any senator whose place will be vacant in any semester because of resignation, retirement, or leave of absence from the University. Priority in case of tie votes shall be determined by lot. Such alternates shall be designated for up to one year at a time and at the beginning of the semester unless the vacancy occurs later.

When it is known that there will be a vacancy throughout the last year or last two years of a three-year term in a constituency not otherwise scheduled to participate in a regular annual election, then that constituency will participate in order to elect a replacement to serve for the one- or two-year period remaining in the unexpired term.

The term of office of a senator shall begin on July 1 and shall extend for one year in the case of student members and for three years in the case of other elected members. Senators shall be eligible for re-election, except that a member who has completed two consecutive

three-year terms shall be ineligible for re-election to serve during the year which immediately follows the period of consecutive service (which may have been extended by virtue of election to the Senate Executive Committee).

1. The Deans shall constitute a constituency from which they will elect one member each year for a three-year term.
2. Two electoral processes for faculty membership in the Senate shall be followed, (a) constituency and (b) at-large. Faculty members shall not be eligible to stand for election or to vote in the first regular election following their initial appointment to the faculty.

a. *Faculty constituency elections*

The voting members of the faculty of each of the following units shall, for these purposes, be deemed an electoral constituency: College of Agriculture, Health and Natural Resources, School of Business, Neag School of Education, School of Engineering, School of Fine Arts, School of Law, College of Liberal Arts and Sciences, School of Nursing, School of Pharmacy, School of Social Work, and the Avery Point, Hartford, Stamford, and Waterbury Regional Campuses. A person who is a voting member of more than one faculty will belong to only one constituency, that of the faculty in which his or her principal appointment is held. The voting members of the faculty of each constituency shall consist of all full-time faculty holding the following titles: Professor, Associate Professor, Assistant Professor, Instructor, Lecturer, Professor-in-Residence, Associate Professor-in-Residence, Assistant Professor-in-Residence, and Instructor-in-Residence.

The number of senators to be elected from each constituency will be one for each thirty faculty members or major fraction thereof within that constituency, with the proviso that each school, college, or regional campus will have at least one senator. The faculty of a school, college, or regional campus that is thus allocated more than one senator will have the option of establishing non-overlapping sub-constituencies. Senators chosen from a constituency will be elected by and from among the members of that constituency. The determination of the proper number of senators to be allocated to each constituency will be reviewed annually by the Senate. The annual schedule for electing members from each constituency shall be determined by the Senate in such a way as to provide for the optimum staggering of three-year terms within each constituency and for a reasonable degree of uniformity in the total number of members to be elected each year from all constituencies. To achieve these objectives, when a constituency becomes eligible to elect an additional senator, the initial term may be limited to one or two years in order that succeeding three-year terms may begin in the most appropriate years.

b. *At-large elections*

The number of faculty elected at-large will be the number remaining after the number of senators to be elected from constituencies is subtracted from seventy-two. Senators chosen at-large will be elected by and from the faculty electoral constituencies.

No school/college shall have more than five faculty representatives elected at-large except the College of Liberal Arts and Sciences, which may have no more than fifteen.

3. The professional staff¹ members shall be elected according to procedures approved by the Provost and Executive Vice President for Academic Affairs from seven constituencies as described below. Staff members are ineligible to stand for election or to vote in the first regular election following their initial appointment to the staff.
 - a. Academic Development (excluding regional campuses), who shall elect two senators.
 - b. Enrollment Planning and Management (excluding regional campuses), who shall elect two senators.
 - c. University libraries (excluding regional campuses), who shall elect one senator.
 - d. Regional campuses, who shall elect four senators; one per campus for Avery Point, Hartford (to include Hartford, Social Work and School of Law), Stamford, Waterbury.
 - e. Schools/Colleges (excluding regional campuses), who shall elect one senator.
 - f. Division of Student Affairs (excluding regional campuses), who shall elect two senators.
 - g. All professional staff shall elect five at-large senators.
4. Five undergraduate student members representing the Storrs campus shall be appointed by the President of the Undergraduate Student Government of Storrs according to procedures established by the Undergraduate Student Government of Storrs. The Avery Point, Hartford, Stamford, and Waterbury campuses shall each be represented by one student senator appointed according to procedures established by the Associated Student Government of Avery Point, the Undergraduate Student Government of Hartford, the Student Government Association of Stamford, and the Associated Student Government of Waterbury.
5. Graduate student members shall be appointed by the President of the Graduate Student Senate according to procedures established by the Graduate Student Senate. Regional Campuses shall be represented by one student senator appointed according to procedures established by the Graduate Student Senate.

¹ For University Senate constituency purposes, professional staff shall be defined as:

- I. Full-time (nine month or more) management exempt employees not included in the faculty or administrative constituencies.
- II. Full-time (nine month or more, non-student) professional staff represented by the professional employees collective bargaining unit and not included in the faculty constituency.
- III. Full-time (nine month or more, non-student) professional staff represented by the faculty collective bargaining unit but not included in the faculty constituency.

C. Functions

The University Senate is a legislative body for the purpose of establishing minimum rules and general regulations pertaining to the educational program and mission of the institution that are not reserved to the Board of Trustees, to the administration, to the Graduate Faculty Council, or to the several faculties.

The University Senate shall appoint ex-officio representatives to the Board of Trustees committees, with full participation in discussion but without vote. These representatives will have the same status at Board of Trustees meetings, with voice but without vote. When executive sessions are called only those persons whose presence is necessary to provide their opinion on the issue at hand will be invited into Executive Session.

The University Senate will make other appointments to University committees and boards as it deems appropriate.

D. Officers

The President of the University shall be Chair of the University Senate. If the President chooses not to preside, the presiding officer shall be the Provost. A moderator shall be elected from the membership for an annual term beginning in September. At a meeting called at the request of at least twenty-five percent of the members, the presiding officer shall be the Chair of the Senate Executive Committee.

A recording secretary of the Senate, elected by the Senate, is responsible for recording and distributing minutes of Senate meetings.

E. Meetings

Meetings of the University Senate shall be held regularly at times to be fixed by the Senate. The dates and times of meetings shall be published at the start of the academic year.

Special meetings of the University Senate may be called by the President or by the Secretary at the request of at least twenty-five percent of the members. Such request, with signatures, shall be presented in writing to the Secretary. The call for a special meeting shall be issued at least a week in advance of the meeting and shall state the purpose of the meeting.

On the request of any member of the Senate, if supported by four colleagues, a record vote shall be taken. These record votes shall be made a part of the minutes.

F. Minutes and Reports

Minutes of the meetings of the University Senate shall be posted on the University Senate website and sent to the University Archives. The University Archives shall be the official place for filing minutes of the University Senate.

G. Committees

1. The Senate Executive Committee

The Senate Executive Committee (SEC) shall consist of eight faculty members, two professional staff members, and two undergraduate and two graduate student members. The faculty and professional staff members shall be elected by the

Senate from among the elected members of the Senate who are not primarily administrators. Department heads and directors are not regarded as primarily administrators. Both the undergraduate and graduate members shall be elected from among and by all student members of their respective Senate delegation in a blanket election, wherein the top vote-getters will serve as the Senate Executive Committee representatives. At least one of the undergraduate student members of the SEC shall be a representative from Storrs and at least one shall be a representative from Avery Point, Hartford, Stamford, or Waterbury. The Undergraduate Student Government of Storrs and Graduate Student Senate Presidents or their student Senate member designee will serve as the interim student representatives to the Senate Executive Committee during the summer months until the permanent members are selected.

Elections shall follow the annual election of such members and shall normally take place in April. For faculty and professional staff members, a term of service on the Executive Committee shall begin on July 1 and shall be for three years. The term of membership in the Senate of a faculty or professional staff representative elected to the Executive Committee shall be automatically extended, if necessary, to be co-terminal. For the student members, the term of service shall be one year, renewable to a maximum of three consecutive years. After the annual election, the Senate shall elect one of the ten faculty and professional staff members to serve as Chair of the SEC for a one-year term, which may be renewed. A vacancy on the SEC shall be filled by election for the duration of the vacancy.

No school/college shall have more than one faculty representative elected in any class, except the College of Liberal Arts and Sciences, which may have as many as two representatives in any class. The College of Liberal Arts and Sciences may have no more than a total of four members on the SEC at any time and no other school/college may have more than two members at any time. No faculty or professional staff senator shall be eligible for immediate re-election to the SEC.

The SEC is responsible for organizing and coordinating the business of the Senate and of Senate committees. To this end, it shall maintain a clerical staff and an office. It shall electronically distribute an agenda for each Senate meeting to the faculty and professional staff in a timely manner in advance of the meeting. Items of an extraordinary nature may be considered at a Senate meeting which have not been included in the agenda for that meeting. It shall receive the reports of Senate committees before they are forwarded to the Senate. It also shall be available to be consulted as the voice of the Senate, especially in reference to resolutions of the Senate, which are designed to be transmitted ultimately to the Board of Trustees. SEC members shall also constitute the faculty membership of the Trustee-Administration-Faculty-Student Committee (see Section VIII.C.).

2. Committee of Three

The Committee of Three, which functions in faculty dismissal and grievance procedures, is to be constituted as follows: Each fall, after the Senate election for the Faculty Review Board is completed, the Nominating Committee shall submit to the Senate for the election of one person to the Committee of Three for a three-year term by written ballot, a slate of at least three faculty members who are tenured professors (excluding those who have the administrative titles of department head

or higher). The slate of nominees must not represent the same department as any member whose term continues into the following year. Members of the Faculty Review Board shall not be eligible for nomination.

When a vacancy occurs in the membership of the Committee of Three, the Senate shall elect in the same manner from the faculty group in which the vacancy exists, except if the vacancy is for less than one year, then it shall be filled by the available candidate with the highest vote in the last previous election in the appropriate class and constituency.

3. Standing/Special Committees of the Senate

The Senate may appoint and define the duties of standing or special committees. The Provost shall be or assign a delegate to be an *ex officio* member of all standing committees.

Each standing committee shall keep accurate records of its proceedings and shall provide these to the SEC. Reports shall be presented to the University Senate as often as the amount and nature of business warrants, and at least annually.

Special committees shall be considered as discharged, without formal vote, when their final reports have been received by the Senate.

ARTICLE X – The Schools and Colleges

A. Membership

The faculty of each school/college except The Graduate School, the School of Medicine, and the School of Dental Medicine shall consist of the President, the Provost, the dean of the school/college, and all full-time professors, associate professors, assistant professors, and instructors belonging to departments administratively organized, regardless of campus affiliation, in the school/college and others who are appointed by the Provost either as voting members of the faculty or as associates and consultants without voting rights.

The faculty of The Graduate School shall include the President, the Provost, the Executive Vice President for Health Affairs, the Vice President for Research, and the Vice Provost for Graduate Education and Dean of The Graduate School, and all members of the University staff appointed as graduate advisors by the Provost.

The voting and non-voting faculty of the Schools of Medicine and Dental Medicine shall be defined in the by-laws of the schools and shall include the President, the Provost, the Executive Vice President for Health Affairs and the Dean of the school.

B. Functions

The functions of each school/college are to:

1. Establish and maintain published policies and procedures, approved by the Provost in consultation with the President, describing the standards by which the school/college conducts its business.

2. Enforce the rules and regulations of the University Senate as they apply.
3. Establish degree programs in particular majors with the approval of the appropriate faculty, the dean of the school/college, the Provost, and the Board of Trustees.
4. Set up and administer curriculum and degree requirements appropriate to its mission and responsibility.
 - a. Standards more rigid or more specific than those outlined by the University Senate may be imposed by the school/college voting faculty. Standards less rigid or less specific than those approved by the University Senate may not be established.
 - b. Administer courses established by the Senate that serve to meet the curriculum requirements of the University. Establish and administer other courses in fields appropriate to the school/college provided that all courses open to freshmen and sophomores are approved by the Senate.
 - c. To suggest basic and prerequisite courses for the freshman and sophomore years and graduate programs, as appropriate.
 - d. Establish and administer other courses in fields appropriate to the school/college at the junior and senior years and graduate levels.
5. Set up admission requirements in line with the purpose and responsibility of the school/college and the University.
6. Plan and execute programs of research and service in line with the general policy of the University.
7. Monitor the academic progress of its students and assist them in educational planning and placement.
8. Maintain records and reports on students, staff, programs and services, and budget.
9. Integrate its program with the general program of the University and foster effective coordination of effort.
10. Secure the safety and proper inventory of all University property assigned to it for instructional, research, or service purposes.

In addition to the relevant functions above, The Graduate School facilitates graduate research and education at the University. It administers, promotes, and reviews all University post-baccalaureate educational programs and curricula, with the exception of programs in Law, Medicine, Dental Medicine, and the Sixth-year Professional Diploma in Education. It serves as an advocate for the University's research and scholarly mission.

C. Officers

The Provost shall preside at meetings of the faculties of the several schools and colleges. In the absence of the Provost, the dean of the school/college concerned shall preside, or if the dean prefers, the faculty may elect a presiding officer.

The dean of each school/college shall be its executive officer. The dean shall be responsible to the Provost for the work and proper administration of the school/college.

Each school/college shall elect annually a secretary who will call faculty meetings to order in the absence of the Provost and the dean.

D. Meetings

Meetings of the schools and colleges shall be held regularly. Special meetings of the schools/colleges may be called by the Provost, or by the secretary, at the request of at least twenty-five percent of the voting members. Such request, with signatures, shall be presented in writing to the secretary. The call for a special meeting shall be issued at least a week in advance of the meeting and shall state the purpose of the meeting.

E. Minutes and Reports

Minutes of the meetings of the schools/colleges shall be made available to the Provost and the faculty and sent to the University Archives. The University Archives shall be the official place for filing minutes of the school/colleges.

F. The Provost shall communicate in writing to the secretaries of the various schools/colleges and of the University Senate, insofar as they are mutually concerned, such actions by these bodies that will, impact the understanding, integration, and coordination of the academic program of the University.

G. Committees

1. *Standing Committees*

The dean of each school/college shall appoint and define the duties of standing committees.

The Provost and the dean of the school/college concerned, or their designees, shall be *ex officio* members of all standing committees.

Each standing committee shall keep a record of actions taken and shall file copies with the President, the Provost, the University Archives, and the dean of the appropriate school/college. Reports shall be presented to the appropriate school/college by the committee chair, or designee, at least annually.

2. *Ad Hoc Committees*

Ad Hoc committees may be set up by the President, the Provost, the deans of schools/colleges, or the faculties of schools/colleges at any time. The members of ad hoc committees shall be selected by the appropriate dean unless the faculty specifies some other means of selection.

All ad hoc committees shall report to the authority that initiated their appointment and shall be considered as discharged, without formal vote, when their final reports have been made.

ARTICLE XI – The Divisions

The Divisions are administrative units with programs that serve the entire university. Divisions must integrate their programs with the general mission of the University and foster effective coordination of effort. Divisions do not administer academic programs.

Each division shall have an executive officer who reports to the President, Provost, or Vice President. The executive officer is responsible for the administration of the division, including the hiring of personnel. Each executive officer shall keep adequate records of all personnel, programs, and budgets of the division and shall submit such reports as are required including an annual report to the Senate.

Each executive officer may have an advisory committee appointed by the President, the Provost, or appropriate Vice President. These committees are advisory to the executive officers of the divisions, and not to the Senate, nor are they responsible to the Senate.

Standing or ad hoc committees may be established by the President, the Provost, the Vice President or the executive officers as appropriate.

ARTICLE XII – The Institutes and Centers in Academic Affairs

A. Functions

The ability to make significant contributions to the University's teaching, research and outreach mission, and to solve increasingly complex problems, may be facilitated by interdisciplinary approaches that enable and encourage collaborative contributions from different disciplines. A center or institute provides a venue for activities that cannot flourish within existing academic structures. The goals of the center or institute should be congruent with those of the institution and capable of enhancing the achievement of these goals more efficiently than existing departments.

A *Center* is a unit that ordinarily has a focused mission and a clearly defined objective. It may involve a group of faculty from one or more departments from a single school/college or from different schools/colleges.

An *Institute* is a unit that ordinarily is larger, has a broader mission, and a more complex interdisciplinary focus than a center. It is expected that most institutes would involve faculty from multiple departments and schools/colleges.

B. Structure

Each institute or center shall consist of a director and participating faculty. The director will be appointed by the dean or other officer to whom the unit reports, in consultation with the Provost. The director shall be responsible for appointing any staff associated with the

center or institute. Faculty appointments and consideration for promotion and/or tenure continue to be granted through academic departments of the University.

Each institute or center must have clear lines of responsibility, usually through a dean to the Provost or to the Vice President for Research. Centers may be primarily responsible to a department head, if department heads of affiliated faculty and the relevant dean approve. Externally sponsored activities (e.g., research/training grants, donations/gifts, fees for services and contracts and letters of agreement) of institutes and centers must have prior approval from the responsible administrative officers. Each center and institute will report annually on its activities for the year to the dean or other officer to whom the unit reports.

C. Establishment and Review

The establishment of a new center or institute requires formal application to and approval from the Provost.

All centers and institutes will undergo formal review on a five-year cycle to determine their continued contribution to the University's mission, except that centers and institutes in the Schools of Medicine and Dental Medicine will be reviewed at least every seven years. Centers and institutes with academic programs shall have written procedures to conduct reviews of those academic programs on a regular cycle. The Provost will routinely inform the Board of Trustees, and if appropriate, the Health Center Board of Directors, of the establishment and discontinuation of all centers and institutes.

ARTICLE XIII – The Departments

A. Membership

Department members shall consist of all faculty as defined in Article X at all campuses. Each faculty member is assigned to a primary campus and when granted tenure, is tenured throughout the University. Should the primary campus cease to exist or a tenured faculty member's program be terminated at the primary campus, the faculty member would be assigned to another campus with that program.

B. Functions

Departments are organized in terms of subject matter areas. They bear definite cross-relationships, but their organization into distinct administrative units is intended to assure that the attention of small groups of faculty members will be centered on teaching, research, clinical activities, and/or service in these areas.

The functions of each department are to:

1. Develop an educational program designed to meet the needs of the students in the various schools/colleges and of other individuals and groups served by the teaching, research, clinical, and/or service programs.
2. Evaluate and improve its educational programs.

3. Recommend to the faculty of its school/college changes intended to improve the work of the department.
4. Secure the safety and proper inventory of all University property assigned to it.
5. Integrate its program with the general program of the University and to foster effective coordination of effort.

C. Officers

Each department shall have an executive officer (head/chair) who shall represent his/her department and who shall report to the dean of the school/college within which the department is organized. Except at the Health Center, the executive officer shall not serve more than two consecutive terms unless the majority of his/her department recommends otherwise. Health Center executive officers do not have term limits.

D. Meetings

Meetings of the department may be called by the executive officer of the department, the dean of the school/college within which the department is organized, or the Provost. Each department shall hold meetings as needed.

ARTICLE XIV – The University Staff

- A.** The President shall appoint individuals and members of units reporting to him/her. All other members of the faculty and professional staff shall be appointed by the Provost, the Vice Presidents, or their designees. Tenure shall only be granted by the Board of Trustees or as delegated to the Board of Directors.

Termination for cause of a tenured faculty member or the dismissal for cause of a faculty member previous to the expiration of a term appointment shall be made only by the affirmative vote of a majority of members of the Board of Trustees or for faculty in the Schools of Medicine and Dental Medicine of the Board of Directors.

- B.** The Provost shall recommend to the Board of Trustees the categories of the professional staff to which the regulations concerning academic tenure apply. The Provost shall consult with the University Senate before making such recommendation to the Board of Trustees.

Academic freedom applies to all members of the faculty and professional staff of the university.

1. All members of the faculty, whether tenured or not, are entitled to academic freedom set forth in the 1940 Statement of Principles on Academic Freedom and Tenure formulated by the Association of American Colleges and the American Association of University Professors. The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties, but research for monetary return should adhere to University policies.

2. The faculty member is entitled to freedom in the classroom in treating his/her subject and in conducting a class. The faculty members should not contravene the free speech and academic freedom of other members of the professional staff, nor impede faculty, other members of the professional staff, or students, in their central tasks of teaching, research, and learning.
3. The faculty member is a citizen, a member of a learned profession, and an officer of an educational institution. When the faculty member speaks or writes as a citizen, he/she should be free from institutional censorship or discipline, but the faculty member's special position in the community imposes special obligations. As a person of learning and an educational officer, he/she should remember that the public may judge the faculty member's profession and the University by his/her utterances. Hence, he/she should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he/she does not speak for the institution.
4. Membership in the academic community imposes on students, faculty members, professional staff, and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways which injure individuals, damage institutional facilities, or disrupt classes. Speakers on campus must not only be protected from violence, but given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution.

Students are entitled to an atmosphere conducive to learning and to even-handed treatment in all aspects of the teacher-student relationship. Faculty members may not refuse to enroll or teach students on the grounds of their beliefs or the possible uses to which they may put the knowledge to be gained in a course. The student should not be forced by the authority inherent in the instructional role to make particular personal choices as to political action or the student's own part in society. Evaluation of students and the award of credit must be based on academic performance professionally judged and not on matters irrelevant to that performance, whether personality, race, religion, degree of political activism, or personal beliefs.

It is a teacher's mastery of his/her subject and scholarship which entitle him/her to the classroom and to freedom in the presentation of his/her own subject. Thus, it is improper for an instructor persistently to introduce material that has no relation to his/her subject or to fail to present the subject matter of the course as announced to the students and as approved by the faculty in their collective responsibility for the curriculum.

Because academic freedom has traditionally included the teacher's full freedom as a citizen, most faculty members face no insoluble conflicts between the claims of politics, social action, and conscience, on the one hand, and the claims and expectations of their students, colleagues, and institutions, on the other. If such conflicts become acute and the teacher's attention to his/her obligations as a citizen and moral agent precludes the fulfillment of substantial academic obligations, the teacher cannot escape

the responsibility of that choice, but should either request a leave of absence or resign his/her academic position.

5. The University, in fulfilling an essential function as a forum for the free expression of ideas, shall endeavor to preserve and facilitate the full enjoyment of constitutionally protected civil liberties.

Members of the professional staff shall have equal opportunity in their employment regardless of gender, race, religion, national origin, or disability.

The highest standards shall be sought in the protection of all forms of freedom of thought, expression, association, and peaceful assembly. In the exercise of these civil liberties the members of the professional staff are obliged to protect the same rights of others and to bear in mind their respective obligations to their profession and to the University.

C. Academic Appointment and Tenure²

The Provost shall recommend to the Board of Trustees the categories of the professional staff to which the regulations concerning academic tenure apply. The Provost shall consult with the University Senate before making such recommendation to the Board of Trustees. No professional staff member who has not attained tenure by vote of the Board of Trustees or the Board of Directors, as set forth herein, shall have a claim that he/she has tenure.

1. The terms and conditions of every appointment to the faculty will be confirmed in writing and an appointment letter will be provided to the faculty member. Any subsequent extensions or modifications of an appointment and any special understandings or any notices incumbent upon either party to provide, will be confirmed in writing and a copy will be given to the faculty member.

² The regulations concerning academic tenure in this and the following sections apply only to members of the professional staff who hold full-time appointments in certain ranks recognized by the Board of Trustees. These recognized ranks include Instructor, Assistant Professor, Associate Professor and Professor, but do not include the following: Lecturer; Professor in Residence; Associate Professor in Residence; Assistant Professor in Residence; Instructor in Residence; Clinical Professor; Associate Clinical Professor; Assistant Clinical Professor; Clinical Instructor; Research Professor; Associate Research Professor; Assistant Research Professor; Research Instructor; Research Associate I, II, III; Research Assistant I, II, III; Research Specialist; Special Research Technician; Graduate Assistant; Extension Professor; Associate Extension Professor; Assistant Extension Professor; Extension Instructor; Specialist I, II, III, IV; Assistant Instructor; University Educational Director; Department Head, Student Affairs; University Educational Assistant I, II, III; University Associate Librarian; University Assistant Librarian; University Librarian I, II, III; University Library Assistant I, II, III; University Library Specialist; University Staff Professional I, II, III, IV, V, VI; University of Connecticut Professional I, II, III, IV, V, VI, VII, VIII, IX, X, XI, XII; University Technician I, II; University Physician; Resident Educational Counselor; and titles that contain the words "University Hospital" (e.g., University Hospital Nurse I). The one exception to the standard of "full-time appointment" shall be if University of Connecticut Health Center (UCHC) faculty work full-time in total, but are employed in part by UCHC and in part by the Veterans' Administration Medical Center (VAMC), then they may be granted a tenure track appointment. Both the tenure track appointment and tenure, if awarded, would be co-terminus with the VAMC employment. If the VAMC employment ends, the UConn tenure also ends. If the Health Center School of Medicine or School of Dental Medicine wishes to hire the faculty member full time, then tenure may be continued. If not, the faculty member will enter the in-residence track. Academic tenure does not confer upon any staff member the right to continued assignment to administrative responsibilities.

2. With the exception of special appointments clearly limited to a temporary association with the institution, all full-time appointments to the rank of instructor or higher are of three kinds: (1) probationary appointments in a tenure track position; (2) tenured appointments; and (3) at the Health Center, in-residence appointments.
3. Except for faculty members who have tenure status, every person with a teaching or research appointment of any kind will be informed each year in writing of the terms of his/her appointment.
4. Beginning with appointment to a full-time, tenure track position, the probationary period shall not exceed seven years, except when the original appointment is in January or as provided elsewhere in the University By-Laws. When the original appointment is in January, the probationary period shall not exceed seven and one-half years.

For faculty with primary appointments in the Schools of Medicine or Dental Medicine, the probationary period shall not exceed nine years, including within this period full-time service in all institutions of higher education, except when the original appointment is in January. Then the probationary period shall not exceed nine and one-half years.

New appointees to tenure track positions with prior service in a tenure track position at another university may, in consultation with their deans and department heads, be granted up to a full probationary period at the time of hire. The probationary period agreed upon in the candidate's offer letter will be viewed as the tenure track period.

Ordinarily, a leave with or without pay awarded for the purpose of pursuing scholarly research activities shall be included in the probationary period toward tenure.

A leave of at least one semester for personal or other reasons ordinarily will not be included in the probationary period toward tenure. Such leaves must be requested in writing by the faculty member and granted in writing by the department head, dean, and the Provost.

Faculty members who provide timely notice to the University that they have experienced a qualifying major life event, as defined under the Federal Family and Medical Leave Act, prior to their mandatory tenure evaluation year will receive an automatic one-year extension of the tenure clock.

For faculty with primary appointments in the School of Medicine, significant life events may be allowed to increase the probationary period leading to promotion or tenure for a maximum of twenty-four months. An increase in the probationary period leading to promotion and/or tenure is automatically awarded when the faculty member takes leave documented and approved under the Federal Family Medical Leave Act, the State of Connecticut Family Medical Leave Act, or the State of Connecticut Workers' Compensation Act. Alternatively, the faculty member may request an increase in the probationary period to promotion and/or tenure even when the above criteria are not met, but when the faculty member's productivity is affected by a significant life event. Such requests must be approved by the Department Chair and the Dean or his/her designee per the School of Medicine By-Laws.

Given the disruptions presented by the COVID-19 pandemic and how they impact scholarly productivity, faculty holding tenure-track appointments are offered a one-year extension to the tenure clock. This extension shall apply to tenure-track faculty members who were employed by the University on March 1, 2020 and whose tenure case is scheduled to be reviewed in the 2020-2021 academic year or later. This extension shall also apply to tenure-track faculty members who began their employment between March 2, 2020 and March 1, 2021. The Provost's Office shall implement a procedure for eligible faculty to request the extension.

Faculty who wish to be considered for promotion and tenure before the end of the probationary period will be evaluated by the same standards applied to faculty who have taken the full probationary period.

The University ordinarily requires of all new appointees a probationary period of at least one year in this institution, but tenure may be granted at any time thereafter and before the expiration of the maximum probationary period by vote of the Board of Trustees or for the faculty of the Schools of Medicine and Dental Medicine, by vote of the Board of Directors. In appropriate circumstances, tenure may be granted by the Board of Trustees or for the faculty of the Schools of Medicine and Dental Medicine, by vote of the Board of Directors upon arrival at the University at the rank of Professor, and, in special circumstances, at the rank of Associate Professor.

Following award of tenure, a faculty appointment shall be terminated only for adequate cause or under extraordinary circumstances of financial exigencies.

5. Regardless of the stated term or other provisions of any appointments, written notice that a probationary appointment is not to be renewed will be given to the faculty member in advance of the expiration of his/her appointment as follows: (1) Not later than March 15 of the first academic year of service, if the appointment expires at the end of that year or if a one-year appointment does not coincide with an academic year, at least three months in advance of its termination; (2) not later than December 15 of the second academic year of service, if the appointment expires at the end of that year or if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination; (3) at least twelve months before the expiration of an appointment after two or more years of service at the institution. The institution will normally notify faculty members of their renewals by March 31.

D. Policies and Procedures Relating to Rank, Salary, and Advancement

1. Tenure and promotion in the professorial ranks will be granted only to persons of outstanding achievement consistent with standards expected of a top public research university. Specific evidence of superior performance in scholarship and in teaching is of primary importance. As a minimum standard for tenure and/or promotion, there must be evidence of strong performance in both scholarship and teaching and superior achievement in at least one of these areas. In addition, other contributions to the University will be considered. In individual cases where it is demonstrated that there has been meritorious professional service through which the faculty member has achieved distinction in the profession, such service may also receive significant weight. Ordinarily, those in the rank of assistant professor are not eligible for tenure. Continued reappointment of a person in a tenure track position, after it is clear that

he/she will not become eligible for permanent tenure, cannot be justified on grounds of immediate convenience. In his/her own interest and that of the University, he/she should be released after the customary notice.

Policies for promotion should operate to advance the most promising. These policies should give careful consideration both to current performance and to future promise and should convey an assurance of impartiality by recognizing and rewarding accomplishment and by maintaining opportunities for advancement. To do this, the policies must be based on merit, determined on the broadest possible basis.

The value of a faculty member to the University results from the possession of a number of different qualities. In enumerating certain of these, it is not intended to formulate a rigid set of standards, nor to require that all faculty attain a stated minimum in each of the items. The value of each person is rather to be judged by both strengths and weaknesses so as to arrive at an estimate of his/her total contribution. No fixed numerical weighting can be prescribed, though greater emphasis should be placed on scholarship, teaching ability, and activity in research than on other characteristics.

A faculty member's salary is in large part a payment for services rendered; however, it includes an additional element that is an investment by the University in the potential of the individual. Adequate salaries permit the assumption of the expenses of travel and study and other professional and cultural activities and provide an appropriate standard of living. Inadequate salaries are contrary to the interest of the University because they impede faculty development or force faculty to supplement earnings at the expense of the time needed for study, thought, and research – and may, of course, even involve the loss of valuable faculty.

2. *Qualities desired in faculty of all ranks*

All candidates for appointment to the faculty and for promotion are expected to show satisfactory attainment and continuous growth in the following qualities, though in varying degrees and in different proportions. The individual's accomplishment in each should be evaluated on every occasion when advancement in salary or rank is being considered and particular care must be exercised when it is proposed to grant tenure.

- a. Professional competence in the field of his/her specialization, as evidenced initially by the record of his/her training and scholastic achievement, and later by the opinion of professional colleagues here and elsewhere; and in certain fields by the execution of professional commissions, the giving of expert testimony, and the like; or by the holding of a license for professional practice, where licensing has been established.
- b. Teaching ability and performance, beginning with the capacity to excite interest and evoke response in students, to broaden their outlook, to impart knowledge, to see and convey relationships, to encourage the faculty of criticism, and to stimulate a sense of inquiry. The educational role of the faculty member is not confined to the classroom. It should include willing skillful attention to the individual student who can profit from additional help in the mastery of a course to which the faculty member is assigned. Also important is the role of academic advisor, who will encourage students to gain as much as possible from the educational resources of

the University and will guide the student to the proper selection of courses consistent with his/her academic and life goals.

- c. Research and such other scholarly activity as gives evidence of the effective utilization and continuing development of his/her natural endowment. This will ordinarily result in publications, lectures, or papers at professional meetings and should in any case be reflected in the vitality of the person's teaching. Such activity will take many forms, some of which are:
 - i. Study, including reading, laboratory work, and museum work;
 - ii. Membership and appropriate activity in one or more professional societies;
 - iii. Writing—creative, critical, analytical, summarizing, or editorial;
 - iv. Creative work in other fields, such as the arts and engineering;
 - v. Research, including both the routine application of known techniques to the accumulation and analysis of new data, and the invaluable gift of making fundamental contributions to knowledge;

Creative activity in the arts and the ability to make research contributions of the second or fundamental kind will be especially noted and rewarded.

- d. Although the qualities listed above should receive the greatest consideration, the following items bearing on professional fitness also should be taken into account, particularly when new appointments are being made and at the end of the probationary period.
 - i. Personal attributes; integrity, industry, open-mindedness, objectivity, friendliness, effectiveness in speaking, capacity for leadership and cooperation, breadth of intellectual interests.
 - ii. Concern for the educational, social, and personal welfare of students, such as is demonstrated, for example, by success in mentoring.
 - iii. Willingness and ability to assist in the various types of service which a state University renders, in the answering of inquiries, the giving of advice, the conduct of surveys, and the like.
 - iv. Competence in fulfilling responsibilities toward democratic University government, as in department and faculty meetings, committee work, and administrative duties.
 - v. A sympathetic but discriminating interest in the development of the University, and the assumption of a share of responsibility for the efficient execution of its functions; or in the case of recent appointees, indication that this interest will develop in due time.

2. In addition to these general desiderata, the following qualifications will be borne in mind in making appointments or promotions to the several ranks.
 - a. *Qualifications for instructors*
 - i. Training or experience appropriate to the performance of his/her assigned responsibilities. In many cases, this will mean the possession of, or evidence of, substantial progress toward the appropriate terminal degree.
 - ii. A consensus on the part of those qualified to judge that the faculty member's training, experience, and interest in his/her subject are appropriate for the performance of the duties to be assigned.
 - iii. For certain types of teaching, it may be more desirable to appoint persons whose qualifications will not ordinarily entitle them to advance into the upper levels of rank and salary.

Note: Two years is regarded as the maximum length of service in the rank of instructor for those in a tenure track position.
 - b. *Qualifications for assistant professors*
 - i. The possession of the appropriate terminal degree.
 - ii. A record of success in his/her work. Information considered may include the judgment of colleagues, information from students, and occasionally the progress and achievement of his/her students.
 - c. *Qualifications for associate professors*

Continued growth in the qualities desired in all faculty members, especially evidence that he/she is keeping abreast of the times in method and subject matter, and a consensus among colleagues that the faculty member is making a substantial contribution to the advancement of knowledge in his/her field.
 - d. *Qualifications for professors*
 - i. Service here or elsewhere as an associate professor of at least five years except when there is evidence that he/she is of superior ability as compared with other associate professors.
 - ii. Evidence that he/she is regarded by colleagues within and outside the University as a capable, mature teacher, and a recognized scholar.
 - e. *Special Title: Board of Trustees Distinguished Professor*
 - i. The title "Board of Trustees Distinguished Professor" should be reserved exclusively to recognize faculty who have achieved exceptional distinction in scholarship, teaching, and service while at the University of Connecticut.

- ii. The Board of Trustees Distinguished Professor title will be conferred as a result of a peer review process. The Review Committee will solicit and evaluate all nominations. The Review Committee will obtain detailed information including materials from external sources and recommend candidates to the Board of Trustees via the Provost.
- iii. The title will normally be awarded to three persons per year. Up to five persons per year may be recognized when the total number of Board of Trustees Distinguished Professors drops below 5% of the full professors on the active faculty.

4. Procedure for Reviews of Faculty

- a. The status of every faculty member with regard to salary and/or rank shall be considered at least once each year. The head of the department shall ordinarily be responsible for seeing that this is done.
- b. It is the duty of each department head to conduct a continuing appraisal of the work and potentialities of the people in the department and by informal consultation, to ascertain the views of the other members of the department. It is his/her responsibility not only to give his/her own appraisal, but also to transmit that of his/her colleagues within the department. In this connection, it should be emphasized that all such evaluations are to be based on the criteria listed above. Recommendations resulting from these reviews, with supporting data, shall be sent to the dean of the school or college, and by the dean, with his/her own recommendations, to the Provost.

5. Promotion and tenure procedures

In considering nominations for promotion and tenure research activities of candidates shall be judged by those who are competent in the general field, who have read the publications of the candidate, and who are familiar with the progress of his/her unpublished work. Care must be exercised to determine the actual amount and true nature of the work. Undue emphasis should not be placed upon mere volume of publication.

- a. In view of the paramount importance of good teaching and the difficulty of judging the quality of a teacher's performance, student evaluations shall be taken into consideration during promotion and tenure decisions. Student evaluations shall be conducted according to procedures approved by the University Senate. Caution must be observed to discount mass prejudices and to avoid overestimating the impressions of the moment, which may well be different from the considered judgment of later years. Student evaluations shall also be available to deans and heads of departments.
- b. The Provost will accept and may request new information about a candidate's qualifications at any step in the promotion/tenure process.
- c. Final action on promotions and tenure will be based on all available evidence, and will be taken by the Board of Trustees or the Board of Directors for Health Center

faculty, upon the recommendation of the Provost, following receipt of recommendations from the dean of the college, the department head, and such other officers as may from time to time be charged with this responsibility.

For procedures on promotion and tenure, go to the Provost's website.

For procedures on promotion and tenure for the Schools of Medicine and Dental Medicine, go to the Health Center Faculty Handbook.

E. Professional Staff Loads

1. While faculty members are employed for a variety of duties, as a general rule the University will expect to assign to each duties that are reasonable and consistent with good and effective practices in teaching, research, clinical care, and outreach. In addition, faculty will be expected to carry a reasonable amount of ordinary departmental duties and routine committee responsibilities and to undertake those activities of self-improvement and professional development which are part of every faculty member's investment in his/her own future.

In determining teaching contact hours and clinical care assignments, consideration will be given to unusually heavy responsibilities for student advising, chairing committees, research projects, unusually large courses, and assigned administrative duties.

Assignment of duties will be made by the appropriate deans and department heads consistent with University policy. Insofar as it is possible, these assignments should take into account the aptitudes and wishes of individual staff members and their opportunities for long-run professional development.

2. Except in the Schools of Medicine and Dental Medicine, the teaching duties of each department shall generally be regarded as a joint responsibility of all its members to be divided as far as possible by mutual agreement, with proper attention to the interests and activities of all. It shall be the responsibility of the department head to make decisions when agreement is lacking and to submit the complete schedule of teaching engagements to the appropriate dean.

The preceding paragraph does not imply that teaching loads and assignments of individual faculty members are to be determined by departmental vote. Departmental action is to be limited to consideration of general policy.

In settling details of teaching schedules within the department or in meeting situations that arise on short notice, the department head has three responsibilities:

- a. The department head must understand and put into effect the general policies and programs of the University.
- b. The department head must act on behalf of and as a representative of the department. All faculty of the department should participate in the formulation of general departmental policy and assess the department's professional program, both for long-run development and current decisions.

- c. The department head has a responsibility to discuss with individual faculty his/her ambitions and aspirations within the University and the profession. While no one is completely a free agent to lay out a program exactly as one pleases, scholarly activity flourishes best in an environment of self-direction and self-propulsion.

F. Resignation of a Faculty Member

A faculty member planning to resign is expected to give notice in writing at the earliest opportunity.

G. Termination of Appointments by the Institution

1. Dismissal, defined as termination of a tenured appointment, or a special or probationary appointment, or for faculty in the Schools of Medicine or Dental Medicine, an in-residence appointment before the end of the specified term, may be effected by the institution only for adequate cause. Dismissals will be pursuant to the procedure specified in Section H, below.
2. Non-reappointment of a special, probationary, or in-residence appointment at the end of the specified term shall not be defined as dismissal.
3. Where termination of appointment is based upon financial exigency, or bona fide discontinuance of a program or department of instruction, Section H will not apply, but faculty members shall be able to have the issues reviewed under the grievance procedure as provided in Sections S and T.

In every case of financial exigency or discontinuance of a program or department of instruction, an affected tenured faculty member will be given notice as soon as possible and never less than 12 months' notice, or in lieu thereof, he/she will be given severance salary for 12 months. Before terminating a tenured or probationary appointment because of the abandonment of a program or department of instruction, the University will make every effort to place affected faculty members in other suitable positions. If a tenured or probationary appointment is terminated because of financial exigency or because of the discontinuance of a program of instruction, the released faculty member's place will not be filled by a replacement within a period of two years from the date of termination unless the released faculty member has been offered reappointment and a reasonable time within which to accept or decline it.

H. Dismissal Procedures

1. a. Adequate cause for dismissal will be related directly and substantially to the fitness of the faculty member in his/her professional capacity as described in Section D. Dismissal procedures will not be used to restrain faculty members in the exercise of their academic freedom or their rights as citizens.
- b. For faculty with primary appointments in the School of Medicine or the School of Dental Medicine, adequate cause for dismissal may also include unsatisfactory job performance, as determined in part by the post-tenure review process described in the faculty member's school by-laws.

2. a. If circumstances arise that, on their face, cause the Provost to anticipate the reasonable possibility of dismissal being recommended for a faculty member with tenure, or with a special or probationary or for faculty in the Schools of Medicine or Dental Medicine, in-residence appointment before the end of the specified term, the Provost or his/her representative will initiate discussion of the matter with the faculty member looking towards a mutually acceptable settlement.
 - b. If such settlement is not reached, the question will be referred to the Committee of Three within 14 days³ of the invitation of the administration to the faculty member to discuss the matter. The Committee of Three will proceed to an informal inquiry, including further attempts at conciliation. The Committee shall report to the Provost within 14 days from the date it enters the case its recommendations based on the results of its inquiry and efforts toward conciliation.
 - c. If continued action seems to the Provost to be warranted, then he/she or his/her representative, taking into account the report of the Committee of Three, shall frame with reasonable particularity a statement of charges. The statement will then be provided to the concerned faculty member within 14 days after the Provost receives the recommendations of the Committee of Three.
3. A dismissal, as defined in Section G.1. must be preceded by the sequence of steps outlined in Section H.2., culminating in the statement of charges provided for in Section H.2.c. Both the individual concerned and the Provost will have the right to have the matter heard by a committee of five. In order to exercise this right, the faculty member, or the Provost, within 7 days of the faculty member's receipt of the statement of charges must request the Committee of Three to form a hearing committee.

The essential functions of the hearing committee are to assemble and review pertinent information and to make appropriate recommendations. In constituting a hearing committee, the Committee of Three shall choose a panel of nine members of the faculty from which either party, within 5 days of notification of the panel, may strike not more than two names. In the event that more than five names remain after the completion of this process, the Committee of Three shall select five to serve as the hearing committee.

The hearing committee shall, within 7 days after its appointment, select its own presiding officer and promptly notify the Provost and the Committee of Three of the name of the presiding officer and the date of selection. If the hearing committee wishes to retain independent counsel, prior approval of the Attorney General of the State of Connecticut is necessary. The University will bear any costs of the hearing procedure, except that the individual concerned will be responsible for any fees he/she incur may incur for counsel, expert witnesses, and other defense expenses, and for the expense of any witness provided for the individual by the University.

Within 7 days of the selection of a presiding officer for the hearing committee, written notice of specific charges will be served. The faculty member may respond to the charges in writing within 7 days.

The date for the hearing shall not be set until the faculty member has responded or the time limit for such response has expired. If the faculty member denies the charge against him/her, asserts the charges do not support a finding of adequate cause, waives

³ All references to days are to calendar days.

his/her right to appear, or refuses to participate in the hearing in person or in writing, the hearing committee will evaluate all available evidence and rest its recommendation upon the evidence in the record.

- a. Since the hearing deals with personnel matters, it shall be closed unless the faculty member requires in writing that it be open.
- b. During the hearing the faculty member will be permitted to be represented by or to have with him/her an academic adviser and/or legal counsel of his/her own choosing. The Provost may be accompanied by or represented at the hearing by a delegate and/or legal counsel of his/her own choosing.
- c. At the request of either party or the hearing committee, representatives of professional organizations shall be permitted to attend the hearing as observers.
- d. A verbatim record of the hearing or hearings will be taken and a typewritten copy or legible facsimile thereof will be made available without cost to the faculty member and to the hearing committee. The requirement of a verbatim record may be waived by mutual consent of the hearing committee and both parties.
- e. The burden of proof that adequate cause exists rests with the institution and shall be satisfied only by clear and convincing evidence in the record considered as a whole.
- f. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the administration of the institution will, insofar as it is possible for it to do so, secure the cooperation of such witnesses and make available necessary documents and other evidence within its control.
- g. The hearing committee may grant adjournment to enable either party to investigate evidence as to which a valid claim of surprise is made.
- h. The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear, but the committee determines that the interest of justice require admission of his/her statement, the committee will identify the witness, disclose his/her statement, and if possible, provide for written interrogation.
- i. In the hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.
- j. The hearing committee will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Every reasonable effort will be made to obtain the most reliable evidence available.
- k. The findings of fact and the decision will be based solely on the hearing record.
- l. Except for such simple announcements as may be required covering the time of hearing and similar matters, public statements and publicity about the case by the hearing committee, the faculty member, and the administrative officers will be avoided until the proceedings have been completed, including consideration by the

Board of Trustees. The Provost and the faculty member will be notified of the recommendation in writing and will be given a copy of the record of the hearing.

4. The hearing committee shall report to the President within 30 days after the selection of its presiding officer. The committee may conclude, and shall report to the President, that the conduct with which the faculty member is charged (a) merits dismissal or (b) does not merit dismissal. If the committee concludes that the conduct does merit dismissal, but that there are circumstances that warrant clemency, it will so recommend, with supporting reasons. If the committee concludes that the conduct does not merit dismissal, (a) it may recommend that the conduct does not merit any disciplinary action or (b) it may recommend a penalty short of dismissal.
5. If the President does not accept the recommendation of the hearing committee, he/she will state the reasons therefore to the hearing committee and to the faculty member within 14 days after receiving the report of the hearing committee. The hearing committee shall, within 14 days, prepare a rejoinder or notify the President that it intends no rejoinder. The President shall within 10 days notify the faculty member, the hearing committee, and the Committee of Three of his/her decision in the case, together with reasons therefore if he/she does impose a penalty.

The President shall report to the next meeting of the Board of Trustees any action taken by him/her in response to the report of a hearing committee. If dismissal or other penalty is invoked, the faculty member may within 30 days request the President to notify the Board of Trustees that the faculty member wishes to appeal the decision. The President shall then within 10 days transmit to the Board the record of the case. In such an event, the Board's review will be based on the record of the committee hearing and the correspondence between the hearing committee and the President after the hearing committee makes its recommendation. This review will provide opportunity for argument, oral, written, or both, by the principals at the hearing or by their representatives. Such a review must be scheduled within 21 days of the date on which the Board members are supplied with the record. Since the review deals with personnel matters, it will be closed unless the faculty member requires in writing that it be open. If the Board disagrees with the recommendations of the hearing committee, it will so notify the committee with specific objections. Taking into account the stated objections, and receiving new evidence if necessary, the committee will then reply to the Board within 10 days. The Board will make a final decision only after study of the committee's reply.

6. Expeditious completion of these procedures is in the best interests of all parties concerned. The time limits specified are maxima. The Committee of Three may, upon request, extend, for cause, any of the foregoing time limits.

I. Suspensions

Until the final decision on dismissal has been reached, the faculty member may be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to him/herself or others is threatened by his/her continuance. Before suspending a faculty member, pending an ultimate determination of his status, the administration will consult the Committee of Three. Suspension is appropriate only pending a hearing; a suspension

which is intended to be final is a dismissal, and will be dealt with as such. Salary will continue during the period of suspension.

J. Terminal Salary

Tenured faculty who are dismissed for reasons other than moral turpitude will receive their salaries for at least a year from the date of notification of dismissal, whether or not they are continued in their duties at the University. Faculty members on probationary appointment will receive their salaries to the end of the current year.

K. Retirement

1. A faculty member's decision to retire is understood to be an individual one, but in the interests of continuity and proper academic planning, it is expected that the faculty member will give notice of their plans at the earliest opportunity.
2. Any member of the faculty, who at the time of retirement is at the University of Connecticut and either retires under the provisions of the State Retirement Act or the Alternate Retirement Plan, may be awarded emeritus status. Also eligible is any member of the faculty who retires from an affiliated institution and whose promotion to rank of Professor in the School of Medicine or School of Dental Medicine was based on scholarship after review by the Senior Appointments and Promotions Committee, Dean, and Provost.

Appointment to emeritus status requires a positive vote of the Board of Trustees or Health Center Board of Directors (for faculty members with primary appointments in the School of Medicine or School of Dental Medicine).

Candidates from Storrs or regional campuses may be presented to the Board of Trustees when both of the following conditions are met:

- a. The faculty member holds the rank of Associate Professor or full Professor or equivalent titles for clinical, in-residence and extension [CIRE] faculty at the University of Connecticut.
- b. The faculty member has served at the University of Connecticut for at least five years.

Candidates from the School of Medicine or School of Dental Medicine may be presented to the Health Center Board of Directors when both of the following conditions are met:

- c. The faculty member holds the rank of Professor.
- d. The faculty member has served at the University of Connecticut for at least five years at this rank.

There shall be a standing University of Connecticut Emeritus Committee and a standing University of Connecticut Health Center Emeritus Committee. Faculty members who do not meet both conditions described in Section 2a and Section 2b, or

Section 2c and 2d, above may become emeriti by vote of the Board of Trustees or the Health Center Board of Directors following recommendation of the President and the appropriate Emeritus Committee. Other professional staff are also eligible for this designation following recommendation of the President and the appropriate Emeritus Committee.

3. It is in the interest of the University that faculty emeriti continue their scholarly, teaching, and/or service activities. The University encourages the maintenance of informal and scholarly contacts between retired faculty members and their active colleagues and may provide working space, equipment, library facilities, and the like to all who can demonstrate reasonable need. Such support will be contingent upon availability of resources. Deans and department heads, where appropriate, may invite emeriti for professional activities such as lecturing, serving on academic committees, and advising students.
4. Emeritus status is a privilege, not a right, and can be revoked at any time at the request of the President and/or appropriate Emeritus Committee with approval of the Board of Trustees or the Health Center Board of Directors for emeritus School of Medicine and School of Dental Medicine faculty.

L. Leaves of Absence

1. Sabbatical Leaves

- a. Sabbatical leave is a privilege to be applied for in each case and is in no instance to be considered an earned perquisite. Such leaves may be granted on application for the purpose of the advancement of knowledge or professional improvement of mutual benefit to the University and the individual. Following such leave, individuals are obligated to return to active service at the University for a minimum of one year. The applicant should file a specific written application accompanied by a statement as to how the leave is to be used. This application should be approved by the department head, the dean or director, and the Provost or the appropriate Vice President, who will in turn submit it to the Board of Trustees with his/her recommendation.

The privilege is open to all full-time teachers who have at least the rank of assistant professor or a corresponding rank and who have been in continuous full-time service at the institution for at least six years. Following a grant of sabbatical leave, the privilege may be renewed after an additional period of continuous full-time service of at least six years. Exceptions in regard to continuous service may be made upon recommendation of the Provost or the appropriate Vice President and the approval of the Board of Trustees or the Board of Directors. The receipt of grant or fellowship funds to cover travel and other expenses incidental to the leave will not ordinarily impact the granting of a request for such leave.

- b. The duration of the leave granted shall be determined by the Provost or the appropriate Vice President. Six years of continuous full-time service is defined as full-time service for at least twelve of the fourteen semesters preceding the leave. Each sabbatical leave eligibility is for a period of one year (two semesters). Leave may be taken for the full period at half pay or for up to half the period at full pay.

After each period of eligibility in which a sabbatical leave is taken, whether for all or a portion of the period, there must be at least six years of continuous full-time service before the next eligibility period. Thus, the timing of eligibility periods is not affected by whether leave is taken for a full period at half pay or for up to half the period at full pay. Faculty members in tenure track positions are not eligible for sabbatical leave before the last year of their probationary periods.

Leave for faculty members employed on an eleven months' basis or for faculty in the Schools of Medicine and Dental Medicine may be for a period of up to six months with full pay or for a period up to twelve months with half pay.

- c. All sabbatical leaves, regardless of whether they are at full or reduced pay, are considered regular full-time service to the University. Any compensation the faculty member will receive during a sabbatical must be addressed through applicable University policies.
- d. Members of the professional staff are in a separate classification. They shall make their application directly to the President if the unit reports to the President or to the Provost or appropriate Vice President, if any.
- e. The recommendation of the head of the department and of the dean in charge of the school/college shall accompany applications for leave. All applications should be made at least one year prior to the date when the leave is to begin. Ordinarily the grantee will receive notification that the leave is granted at least two months before the end of the semester previous to the one in which the leave is to begin.
- f. Arrangements for carrying on the duties of a person on leave shall be made by the appropriate department head and dean in consultation with the faculty member as appropriate. The department head is expected to certify whether or not the work of the department can be carried on if the leave is granted substantially as it would have been otherwise. If courses would have been withdrawn or other changes made in the department's program even without the granting of the leave, the changes may be made during the leave, but it is not expected that sabbatical leaves will be granted if they must be taken at the expense of the students or of the regular departmental program.
- g. If an approved leave is postponed for a period by the administration, the applicant's next leave may be granted for the year in which it would have fallen if there had been no such postponement.
- h. Sabbatical leaves are granted in the expectation that the recipient will resume his/her previous duties at the end of the leave. Ordinarily the staff member will return at the same rank and salary which he/she had when the leave began. This understanding, however, is subject to the qualification (which applies in the same degree to those in residence) that the Board may sometimes find it necessary to change the compensation or duties of some or all staff members because of changes in enrollment, financial exigencies, or other circumstances beyond its control. The grant of leave does not change the tenure-status of the recipient.

- i. After leave has been taken, a written report of the work done shall be made to the officer who approved the leave through the department head and the dean or director.

2. *Leave Without Pay*

Leave of absence without pay may be granted by the President for those units which report to the President or by the Provost or the Vice Presidents for reasons considered to be in the best interest of the University and in the interests of professional growth and improvement of the staff member concerned. All such cases are treated as special cases and are in the first instance, ordinarily granted for up to a year. Professional staff members desiring such leaves should apply through their department heads and deans and through the appropriate Vice President, if any. A report of all such leaves as are granted shall be made to the Board of Trustees for their information.

3. *Military Leave*

Members of the professional staff are eligible for military leave consistent with applicable state and federal law. Part-time employees will be granted such leave if they have worked the equivalent of six months or more full time. Thus, an employee would become eligible after twelve months of half-time employment, etc.

4. *Sick Leave for Faculty With or Without Pay*

Each case is considered separately and involves careful consideration of length of service, nature of the illness, and anticipated length of disability. Application for sick leave should be made not later than ten days after the staff member's return to work.

5. *Other Regulations Regarding Leave of Absence*

- a. No employee of the University of Connecticut shall receive leave with pay for service in any elective political office.
- b. No member of the professional staff shall be absent from his/her duties at the University except by permission of the department head. Short leaves to cover emergency situations may be granted by the department head, who will make such arrangements as are feasible to re-assign the absent staff member's work. In each such case, the department head will file a record of the matter with the dean. No such emergency leave shall be granted for a longer period than ten days without previous permission of the President for those units which report to the President or by the Provost or the appropriate Vice President.
- c. Except in very unusual circumstances, no tenured or tenure track faculty member may receive a leave of absence to accept a tenured or tenure track position with another University. Such exceptions will require advance approval from the Provost.

- M.** No employee in the service of the University shall devote to private purposes any portion of the time due the University without consent as may be provided in established University policy. Faculty members may take on outside consulting and research activities

after the specific project has been approved by the Provost. Nothing herein contained shall be construed as authorizing any private practice by any full-time member of the faculty of either the School of Medicine or the School of Dental Medicine.

- N. To the extent that there are facilities available, University employees are entitled to receive from the University unit responsible for student health services immediate care for injuries incurred in the line of duty. This unit is to offer limited primary medical care services to University employees within available resources on a fee for service basis.
- O. The University Libraries shall be used by faculty, staff, and students and as appropriate, by the citizens of the State.
- P. Members of the faculty are permitted to audit courses without payment of fees, subject to consent of instructor, and availability of library, laboratory, and classroom facilities.
- Q. No full-time member of the professional staff may take for credit any academic work at this institution or elsewhere during that employee's regular working hours, without prior written approval of the President for those units that report to him/her, the Provost, or appropriate Vice President.
- R. The existence of a family relationship to a staff member does not affect the eligibility of any person for employment by the University. To avoid potential conflict between personal and institutional interests, no staff member may be assigned responsibility for supervising the work of a relative consistent with the University's policy on nepotism.
- S. **University Faculty Grievance Procedure⁴**

If a member of the faculty under the jurisdiction of the Provost, excluding the faculty in the Schools of Medicine and Dental Medicine, believes there is a cause for grievance which cannot be resolved by ordinary means, the complainant may request the Committee of Three (Article IX.G.2.) to appoint a hearing committee to evaluate the grievance and to make appropriate recommendations concerning its resolution.

1. Complaints involving promotion, tenure, and reappointment decisions may be brought to the Committee of Three only at the end of a sequence of peer review procedures, including those of the Faculty Review Board.
2. Other complaints may be brought to the Committee of Three only after appropriate administrative remedies have been exhausted.
3. The Committee of Three is empowered to mediate the complaint informally in consultation with the complainant, the person or persons against whom the grievance is lodged, and such other persons as the committee deems appropriate.
4. If the Committee of Three has been unable to mediate the complaint informally or determines mediation is not appropriate under the circumstances and believes that there may be such substance to the grievance as to justify further investigation, it shall appoint an ad hoc hearing committee of three or five faculty members and convey the grievant's written statement of the grievance to the hearing committee with a copy (or copies) to be sent to the person(s) against whom the grievance is lodged.

⁴ This procedure applies to individual grievances not covered by Article XIV.F, H, and I.

5. The hearing committee shall be empowered to have access to information it deems pertinent, to hold hearings and interviews, and to seek informal resolution of the issues raised. The hearing committee, after consulting all parties to the dispute, may decide to conduct its proceedings in confidence or with the concurrence of the grievant, to hold public hearings. Parties to the proceedings may, if they choose, be represented. It is incumbent upon all parties to refrain from aggravation of the issues during the course of grievance proceedings.
6. The hearing committee appointed by the Committee of Three shall be instructed by the Committee of Three to determine:
 - a. Whether the relevant procedures established by the University have been followed in the case before them.
 - b. Whether in substance the grievant has just cause for complaint.
 - c. In cases involving promotion, tenure, and reappointment:
 - i. the sufficiency and relevance of the evidence employed in making the decision.
 - ii. whether the decision arrived at was in reasonable conformity with the evidence considered.
 - d. Appropriate remedy, if any.
7. The hearing committee will make a report of its findings and recommendations to the Provost, with copies to the grievant, the person(s) against whom the grievance is lodged, and the Committee of Three. In those cases involving a grievance against the Provost, the report shall be sent to the President.
8. The collective bargaining agent shall be informed by the hearing committee of the substance of its report to the President or Provost.
9. Within thirty days of receipt of the hearing committee's report, the President or Provost shall inform the hearing committee, in writing, of his/her response to its recommendations, with copies to the grievant, the person(s) against whom the grievance is lodged, and the Committee of Three.
10. The collective bargaining agent shall be informed by the President or Provost of his/her response. The Committee of Three may make the hearing committee's findings and the response of the President or Provost known to persons or groups it deems appropriate.
11. If not satisfied with the outcome of the hearing committee's investigation and the action of the President or Provost in response thereto, the grievant may within thirty days of receiving the response, address a written appeal to the Board of Trustees through the President or Provost. The Board of Trustees will respond to the appeal in writing within a reasonable time.

T. Health Center Faculty Grievance Procedure⁵

Under most circumstances, a faculty member in the School of Medicine or the School of Dental Medicine who has a grievance will seek resolution through the usual channels of administrative authority (e.g., initial referral of the grievance to the Department Chair, to the dean of the appropriate school, and then to the Provost) or through the appropriate standing faculty appeals committees (e.g. space or compensation appeals committees), if any. If resolution is not possible or if the aggrieved party is dissatisfied with the proposed resolution(s), faculty peer review committees are empowered to hear grievances. Grievances related to promotion, reappointment, and tenure issues shall first be reviewed by the Health Center Faculty Review Board (HCFRB). In the case of a possible dismissal of a tenured faculty, the grievance will be referred to the Committee of Three at Storrs [see By-Laws Article XIV.G]. All other appeals and grievances will be referred directly to the Health Center Appeals Committee (HCAC).

1. Health Center Faculty Review Board (HCFRB)

- a. The Health Center Faculty Review Board (HCFRB), in its advisory role to the Provost, shall be the primary body to hear grievances related to promotion, reappointment, and tenure. It shall consist of a standing committee of seven (7) members, with two (2) representatives from basic science departments, two (2) from clinical dental departments, and three (3) from clinical medical departments. Each member must be a School of Medicine or School of Dental Medicine faculty member of senior rank on the UCHC payroll and may not be a Department Chair or Type II Center Director or a dean of any rank, or be a current member of the Committee on Appointments and Promotions of either the School of Medicine or the School of Dental Medicine. The term of service is three (3) years and terms shall be staggered. The chair will be selected from the membership by the HCFRB. Each year, a nominating committee consisting of the chairpersons of the School of Medicine Oversight Committee and the School of Dental Medicine Council shall select at least two (2) candidates from the appropriate constituency to fill vacancies. The members of the HCFRB shall be elected by the faculty of the Schools of Medicine and Dental Medicine who are paid by the UCHC. The HCFRB will develop, revise as necessary, and post rules governing its processing of grievances. Such rules must be in compliance with the University's Laws and By-Laws.
- b. Grievances may be brought to the HCFRB by the aggrieved party or referral by the Provost and must be submitted to the Chair of the HCFRB in the form of a cover letter and accompanied by supporting documents. Copies of the cover letter and materials will be sent to the Provost and to the person or persons against whom the grievance is lodged. The process of referral or evaluation of a grievance shall commence within 15 working days after formal filing of the grievance.
- c. The HCFRB may conduct its proceedings in closed session or, with the concurrence of the grievant, hold public hearings. Parties to the proceedings may choose to be represented. The HCFRB shall evaluate the grievance in a prompt and timely manner.

⁵ This procedure applies to individual grievances not covered by Article XIV.F, H, and I.

- d. The HCFRB will submit its report and recommendations to the Provost. Copies of its report shall be sent to the grievant and to the person(s) against whom the grievance is lodged. In cases of grievances against the Provost, a copy of the report shall be sent to the President. Final disposition of grievances shall be effected without unnecessary delay.
- e. If not satisfied with the outcome of the HCFRB investigation and the action of the Provost in response thereto, the grievant or the person or persons against whom the grievance is lodged may, within thirty days of receiving the response, address a written appeal to the HCAC.

2. Health Center Appeals Committee (HCAC)

- a. This committee shall be a standing committee consisting of three (3) permanent members. The permanent members will include one (1) representative each from a basic science department, a clinical dental department, and a clinical medical department. Permanent members shall be School of Medicine or School of Dental Medicine faculty members of professorial rank on the UCHC payroll. They shall be elected by the faculty of the Schools of Medicine and Dental Medicine who are paid by the UCHC from a slate of candidates nominated by the chairs of the School of Dental Medicine Council and the School of Medicine Oversight Committee to serve staggered terms of six (6) years. A permanent member may not be a current member of the HCFRB or the Committee on Appointments and Promotions of either school and may not be a Department Chair, Type II Center Director, or dean of any rank. The HCAC will develop, revise as necessary, and publish rules governing its processing of grievances. Such rules must be in compliance with the University's Laws and By-Laws.
- b. Grievances may be brought to the HCAC directly by the aggrieved party or referral by the Provost and must be submitted to the Chair of the HCAC in the form of a cover letter and accompanied by supporting documents. Copies of the cover letter and supporting documents will be sent to the Provost and Executive Vice President for Academic Affairs and to the person or persons against whom the grievance is lodged. The process of referral or evaluation of a grievance shall commence within 15 working days after formal filing of the grievance.
- c. If, after consultation with the complainant, the person or persons against whom the grievance is lodged and such other persons as the committee deems appropriate, the HCAC has been unable to mediate the complaint informally, it then must determine if the complaint has enough substance to warrant a full hearing.
- d. The HCAC may not come to a decision that there is insufficient substance to justify further investigation without first providing the grievant an opportunity to address the HCAC in person. In such a case, the grievant may be represented.
- e. If the HCAC believes that there may be such substance to the grievances as to justify further investigation, it shall appoint a five member ad hoc committee called the Hearing Committee. Members of the HCAC may serve on the Hearing Committee. The ad hoc members must be of senior rank, but not necessarily full

professors, and must otherwise meet the same restrictions on eligibility as described for members of the HCFRB and HCAC.

- f. The Hearing Committee shall be empowered to have access to information it deems pertinent, to hold hearings and interviews, and to seek informal resolution of the issues raised. The grievant and the person or person(s) to whom the grievance is lodged will be afforded the opportunity to directly address the Hearing Committee in person. The Hearing Committee, after consulting all parties to the dispute, may decide to conduct its proceedings in private or, with the concurrence of the grievant, to hold public hearings. Parties to the proceedings may, if they choose, be represented. It is incumbent upon all parties to refrain from aggravation of the issues during the course of grievance proceedings.

The Hearing Committees shall determine:

1. Whether the relevant procedures established by the University have been followed in the case before them.
 2. Whether the grievant has just cause for complaint.
 3. In cases involving promotion, tenure, and reappointment:
 - a. Whether the evidence employed in making the decision was sufficient and relevant.
 - b. Whether the decision was reasonable considering the evidence presented.
 4. An appropriate remedy, if any.
- f. The Hearing Committee will issue its report and recommendations to the Provost. In those cases involving a grievance against the Provost, the report shall be sent to the President. Within thirty days of receipt of the Hearing Committee's report, the President or the Provost shall inform the Hearing Committee in writing, of his/her response to its recommendations, with copies to the grievant, the person(s) against whom the grievance is lodged, and the HCAC. Final disposition of grievances by the Health Center Appeals Committee shall be effected without unnecessary delay.
 - h. If not satisfied with the outcome of the Health Center Appeals Committees' investigation and the action of the President or Provost in response thereto, the grievant, the person against whom the grievance is lodged, the University President or Provost may, within thirty days of receiving the response, address a written appeal to the University of Connecticut Health Center Board of Directors through the President or Provost.

3. Board of Directors

The Board of Directors or its designee will examine the grievance for the process and will respond to the appeal in writing within a reasonable time. At its discretion, the Board of Directors or its designee may elect to mediate the grievance, conduct further investigation, and/or act on the grievance. If the Board of Directors or its designee

elects to hold interviews or hearings, these may be held in public only with the concurrence of the grievant. All parties to interviews and hearings may be represented.

U. Grievance Procedure for Management-Confidential Professional Staff

A member of the management-confidential professional staff who believes he/she has cause for a grievance that cannot be adjusted by informal means may present a formal grievance under the following procedure:

1. The employee, with or without a representative, shall first present the grievance to the immediate supervisor. The immediate supervisor shall answer in writing to the employee within seven calendar days from the date the grievance is submitted.
2. When the answer is not satisfactory to the employee, the employee, with or without a representative, shall present the grievance to the appropriate Vice President. The Vice President shall answer in writing to the employee within seven calendar days thereafter.
3. An employee who is still aggrieved may appeal the grievance to an ad hoc Appeal Board appointed by the President. The Appeal Board shall consist of seven members at least four of which shall be members of the management-confidential professional staff. The grievant may be represented in matters before the Appeal Board.
4. The decision of the Appeal Board shall be in writing and shall be in the form of a recommendation to the President. Copies of the Appeal Board's recommendation shall be forwarded to the employee.

ARTICLE XV – General Policies and Practices

- A.** No organization or group shall discriminate against or exclude a person because of race, religion, national origin or other protected class recognized by state or federal anti-discrimination laws, on that land owned or operated by the University of Connecticut, and organizations or groups that are found to have violated state or federal anti-discrimination laws shall not have the use of University-owned or operated buildings or property.
- B.** All purchasing and contracting for supplies, equipment, and/or services and the management, accounting, and deposit of University funds must conform to applicable state statutes and University policies and procedures.
- C.** Any business or communication from members or groups of the University staff that concerns the University or its departments and which requires action by the Board of Trustees shall be presented to the Board by the President of the University. If the President refuses or neglects to place such business or communication or any part thereof before the Trustees within a reasonable time, those concerned may present their petition directly to the Board.
- D.** All apparatus, museum, and scientific collections, and other University property shall be in the immediate charge of the department head to which such material has been assigned, subject, however, to the control of the appropriate Vice President. Every person having

charge of any apparatus, specimens, books, collections, or other University property shall be held responsible for their safety and shall ensure a record or inventory of all property for which he/she is responsible is maintained in compliance with University policy.

- E. The name or insignia of the University shall not be used by any individual or by any group not duly organized as a part of the University without the approval of the President.

F. Naming of Facilities

The act of naming or renaming a University facility for a person, family or organization confers one of the University's highest and most conspicuous honors.

The President is authorized to establish guidelines and procedures in accordance with this policy for naming University facilities. The naming of any facility must be approved by the Board of Trustees upon recommendation of the President.

G. Intellectual Property

1. *Ownership of inventions*⁶

- a. The University shall own, or participate in the ownership of, the entire right, title, and interest in and to any invention:
 - i. conceived by one employee solely or by employees jointly in any instance in which such invention is conceived in the course of performance of customary or assigned duties of the employee inventor or inventors, or
 - ii. in which the invention emerges from any research, development, or other program of the University, or
 - iii. is conceived or developed wholly or partly at the expense of the University, or
 - iv. with the aid of its equipment, facilities, or personnel.
- b. In each such instance, the employee inventor shall be deemed to be obligated, by reason of employment by the University, to (i) disclose the invention fully and promptly to an authorized executive of the University; (ii) to assign to the University the entire right, title, and interest in and to each such invention; (iii) to execute such instruments of assignment to that effect; (iv) to execute such proper patent applications on such invention as may be requested by an authorized executive of the University, and (v) to give all reasonable aid in the prosecution of such patent applications and the procurement of patents.
- c. The University shall have the rights defined in Section G.1.a. with respect to inventions conceived jointly between employees and non-employees to the extent to which an employee has or employees have disposable interests therein and to the same extent the employee or employees shall be obligated as defined in said Section G.1.b.

⁶ For the purpose of this section, 'invention' shall mean that which is produced for the first time through the use of imagination or ingenious thinking and experiment.

- d. The University shall have no right to inventions conceived by non-employees, except as may be otherwise provided in contracts, express or implied, between the University and those entitled to the control of inventions.

2. *Management of Intellectual Property*

The University shall:

- a. File and prosecute patent applications and obtain patents, relating to inventions or discoveries which the University may be justly entitled to own or control, wholly or partly, and receive and hold in separate custody, assignments, grants, licenses, and other rights in respect to such inventions, discoveries, patent applications, and patents.
- b. Make assignments, grants, licenses, or other disposal, equitably in the public interest, of any rights owned, acquired or controlled by the University, in or to inventions, discoveries, patent applications, and patents, and to charge therefore and collect, and to incorporate such funds in the custody of the University, reasonable compensation in such form and measure as the Board of Trustees authorizes or ratifies.
- c. Execute contracts with employees and others for the purpose of carrying out the appropriate management of the University's intellectual property. The entire beneficial ownership of intellectual property shall vest in the University and the Board shall exercise complete control thereof.

3. *Employees to share in proceeds*

- a. Each employee who conceives any invention and discharges his/her obligations to the University as herein before provided shall be entitled to share in any net proceeds that may be derived from the assignment, grant, license or other disposal of such invention.
- b. Proceeds shall be computed with reasonable promptness after collection and after deducting from gross proceeds the costs and expenses allocated to that invention or discovery.
- c. A minimum of twenty percent of the net proceeds shall be paid to an employee who solely conceived or made the invention, and shall be paid in shares to two or more employees who jointly made the invention. The Board of Trustees may increase the amount by which any employee or employees may participate in such net proceeds.

4. *Dispute Resolution*

Disagreements as to the allocation of any invention to a category, or with respect to the obligations of any employee, or due performance thereof, or with respect to participation of any employee in net proceeds, or with respect to the rights or obligations with reference to inventions in any category, shall be resolved as follows:

- a. By voluntary arbitration of all relevant issues if the disagreeing parties approve and agree to be bound by the decision upon such arbitration.
- b. By compulsory arbitration if that is provided for in any applicable contract between the disagreeing parties.
- c. By recourse to courts of appropriate jurisdiction within the State if arbitration cannot be resorted to under either subsection (a) or (b) of this section.

5. *Regulations for arbitration*

The Board is authorized to establish and regulate equitably in the public interest, such measures as the Board deems necessary for the purposes of such arbitration, and to make contracts for compulsory arbitration, in the name of the University.

6. *Rights as to products of authorship*

The University shall not claim any literary, artistic, musical, or other product of authorship covered by actual or potential copyright laws of the United States, but the University shall be authorized to make and enforce any contract, express or implied, which it may make with respect to any such subject matter.

H. Establishment of University Regional Campuses

Before a new campus of the University of Connecticut is opened in any locality, the University's Board of Trustees must be convinced that a significant number of prospective students in that locality are unable to secure education at the college level from resources already available in the community and that there is urgent local demand for the University to establish a campus there.

I. Student Organizations

Responsibility for the oversight and, where appropriate, support of student organizations is vested with the Vice President for Student Affairs or his/her designee. Such oversight shall include, but not be limited to, the development of policies and procedures related to student organization registration, recognition, and activities.

1. The University recognizes the right of any group of students to form a voluntary organization for any purpose not prohibited by law. Student organizations wishing to hold meetings and events in University facilities and be eligible for advice, training, and support from the University must have an active membership comprised chiefly of registered students and have met and maintained registration requirements as determined by the Vice President of Student Affairs or his/her designee. Such organizations shall be deemed 'registered student organizations.'
2. The University assumes no responsibility for the actions and activities of registered student organizations or their membership.
Registered student organizations having a formal advisee/advisor relationship with a University department may, in some cases, receive special help and supervision from those departments.

University faculty, staff and graduate assistants serving in an advisory capacity for registered student organizations will not be held responsible for the actions of student organization members provided any advice offered is consistent with applicable University, State, and Federal laws and is in the best interest of the safety of students and all individuals involved.

3. So far as its facilities permit, the University will provide registered student organizations with suitable meeting places without charge and will encourage and protect lawful freedom of expression during meetings of such organizations. The responsibility for any views expressed in such meetings vests with the individuals concerned. The University's role is not to approve or disapprove such views, whatever their nature, but to be concerned exclusively with the discharge of its educational obligation to facilitate free discussion of all points of view to the extent guaranteed by the Constitution of the United States and of the State of Connecticut. The University does not approve the qualifications of speakers whom registered student organizations invite to address them, nor, except as to availability of space and related issues of public safety, on the number or size of meetings which may be held.
 4. The name of the University shall not be used by any group not duly authorized as a part of the University, nor by any individual, without the approval of the President or his/her designee. Registered student organizations are considered not to be "duly organized as a part of the University." In authorizing or denying the use of the name of the University, the President will, in general, be guided by the need of making clear to the public the nature of the relation of the organization in question to the University.
 5. The University places no restrictions as to purpose on the solicitation of funds by registered student organizations, within or without the University community unless such activities violate state or federal laws. The time, place, and method of solicitation within the University by registered student organizations shall be governed by regulations established by the Vice President for Student Affairs or designee in the interest of public safety, avoiding over-crowding and unreasonable interference with those using an area for other purposes.
- J.** Use, possession, sale, distribution, or manufacture of alcohol, controlled substances and/or drugs or drug paraphernalia are prohibited except as expressly permitted by law and University regulations.

K. Regulations Regarding Residence

1. All students, before registering for classes for the first time at the University of Connecticut, must file an affidavit of residence, on forms prescribed by the University. On the basis of this information, each entering student will be initially classified as a Connecticut or an Out-of-State student.
2. The status of each student will be determined by the definitions established in the Connecticut General Statutes.
3. The failure of a student to disclose fully and accurately all facts relating to his/her residence status shall be grounds for suspension or expulsion.

L. Policy Regarding the Expression of Dissent

1. Orderly picketing and other forms of peaceful demonstration are permitted outside of buildings and in other public gathering areas. Significant interference with entry into or exit from such buildings or areas or with the free movement of any person on the University campus is not permissible.
2. Entry into University buildings, meeting halls, classrooms, and other designated areas may properly be restricted to those engaged in the normal or scheduled activities being conducted. The presence of unauthorized persons in such areas leading to substantial interference with other University activities, after due notice has been given, orally or in writing, will be construed as interfering with or obstructing a University activity and is not permissible.
3. The creation of loud or excessive noise that substantially disrupts or interferes with classes or other University activities is not permissible.
4. Direct personal abuse, whether physical or verbal, that significantly infringes upon the rights of others to participate in the academic community or leads to substantial disruption of a University related activity is not permissible.

M. Commencement

Commencement Exercises are authorized at the conclusion of both the Fall and Spring semesters.

ARTICLE XVI – Advisory Search Committee for President

- A.** The purpose of the committee is to assist the Board of Trustees in its statutory responsibility of selecting the President of the University of Connecticut. To this end, the committee will need to conduct a broad search, developing a diverse candidate pool, screen qualified candidates, and make appropriate recommendations to the Board.
- B.** The committee will be appointed by the Board of Trustees from recommendations submitted from various constituencies, including trustees, professional staff, faculty, students, and alumni. The committee should be large enough to represent each of the constituencies adequately. The Chair of the Board of Trustees shall serve *ex officio* as the Chair of the Search Committee. The faculty members of the search committee will include the faculty members of the Senate Executive Committee.
- C.** The Board of Trustees should designate a small steering committee of the Advisory Search committee composed of committee members who can devote long hours to the work. The steering committee will be used to expedite the search procedures in ways agreed upon by the full committee. It will keep the full committee informed of the progress of the search by means of periodic meetings and, when appropriate, by written report.
- D.** In order to insure equity and an objective evaluation of all candidates, it is essential that information on all candidates be available to each member of the committee and that no candidate be allowed to by-pass consideration by the committee.

- E.** The search will normally proceed along the following lines:
1. Clearly defining the needs of the University and the characteristics desired in the person to be chosen.
 2. Developing a list of possible candidates and eliminating those unsuitable or not interested.
 3. Developing a profile of the University for distribution to candidates being seriously considered.
 4. Selecting and interviewing the most highly qualified candidates.
 5. Ranking the leading candidates by vote and transmitting name(s) of finalist(s) to the Board of Trustees, with whatever qualifications the committee wishes to include.

During all of these stages, the steering committee will recommend steps to be taken to the Advisory Search committee, which will be responsible for all decisions.

- F.** Every possible method should be used in developing the initial list of candidates, including advertising and the solicitation of names from the various University constituencies, as well as from other sources, such as college presidents, foundation officials, officers of learned societies, business and labor leaders, and other prominent citizens.
- G.** Complete confidentiality of all proceedings must be maintained throughout the search; it becomes especially crucial during the later stages. Grave injustice to the candidates and serious harm to the University's reputation result from any breach of confidentiality. The damage to the University may not be immediately discernible, but will become evident in the willingness of outstanding individuals to be considered as candidates for high positions at the University of Connecticut.

ARTICLE XVII – Honorary Degrees

On recommendation of the Honors and Awards Committee and the President, the Board of Trustees may vote to confer honorary degrees on distinguished individuals. The Board should award an honorary degree only in recognition of extraordinary and lasting distinction. The award should represent the highest intellectual and moral values; it should reflect the very character and quality of the University itself.

- A.** There shall be an Honors and Awards Committee, consisting of the President, the Provost, the Executive Vice President for Health Affairs (all *ex-officio*), three faculty members nominated by the University Senate Executive Committee and appointed by the President, four members of the Board of Trustees appointed by the Chair of the Board, and two students appointed by the President. The President will chair the Committee. The faculty appointed by the President will serve for staggered terms of five years each and ordinarily may not succeed themselves. Students will serve one-year terms. The Board-appointed members will serve at the pleasure of the Chair.

- B. The Honors and Awards Committee will prepare for approval of the Board of Trustees written criteria and procedures for the selection of candidates for honorary degrees.
- C. Honorary degrees may be conferred at Commencement or at special convocations. Only under extraordinary circumstances will honorary degrees be conferred in absentia.

ARTICLE XVIII – Repeal and Amendment

- A. All rules, orders, and resolutions of the Board heretofore enacted and in conflict with these By-Laws are hereby repealed.
- B. These By-Laws may be amended at any meeting of the Board by a majority vote of all members of the Board, provided notice of any proposed amendment, including a draft thereof, shall have been given at a previous regular meeting for the purpose of comment and discussion prior to a vote on any proposed amendment. Board action on any proposed amendment shall be treated as a regular agenda item. If no vote is taken on the proposed amendment(s) at any of the next three meetings of the Board following the meeting at which notice of the proposed amendment(s) is first given, the proposed amendment(s) must be re-noticed in accordance with this section.

ARTICLE XIX – Contravention with Law

Should it be determined that any provision of these by-laws contravene any applicable federal or state law or regulation, such provision shall be invalid only to the extent of such actual contravention.

Board of Trustees approved June 26, 2024