

PEPPERDINE UNIVERSITY  
GRAZIADIO SCHOOL OF BUSINESS & MANAGEMENT  
FACULTY HANDBOOK

This handbook is intended to serve as a ready reference for the faculty on important areas of policy for the George L. Graziadio School of Business and Management specifically, and for University policy in general. The handbook reflects official University policy on the matters covered. Since there are several other sources for University policy--such as accreditation standards, internal procedural statements, and standards of legality--this handbook cannot be considered comprehensive. *For general employee information, please consult the latest Pepperdine University Employee Information Bulletin.\**

This handbook, along with the faculty contract and supplemental policy and procedure statements, largely determines faculty rights and duties with respect to the University and students. The definition of policies and procedures should provide guidance and avoid misunderstandings. Acceptance of a faculty appointment constitutes an agreement by the faculty member to abide by the policies and procedures of the University, including all changes thereto. The provisions of this handbook are subject to change through the normal University processes.

*\*For general employee information, please consult the latest Pepperdine University Employee Information Bulletin which may be found at:*

<http://community.pepperdine.edu/hr/policies/bulletin.htm>

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*Welcome to Pepperdine University  
and  
Graziadio School of Business and Management*

**I. PEPPERDINE UNIVERSITY**

A. Background of the University

Pepperdine University is an independent, Christian university, enrolling approximately 6,200 full-time students and 1,700 part-time students in colleges and schools. The full-time faculty consists of over 300 professors and scholars. Administrative headquarters for the University are located in Malibu, California. In addition to the education programs offered on the University's 830-acre campus overlooking the Pacific Ocean at Malibu, the University conducts an International program in its own facilities in Heidelberg, Germany, London, England, Florence, Italy, and Buenos Aires, Argentina, and offers classes on four campuses in the metropolitan Los Angeles area.

Pepperdine College was established in 1937 through the philanthropy of George Pepperdine, founder and developer of the Western Auto Supply Company. Impressed by the great service rendered by graduates of Christian colleges, Mr. Pepperdine determined to use his life's earnings to establish such a college in Los Angeles. He believed that an investment in Christian education for young people was the soundest investment that could be made. The grant made by the founder provided the original campus and buildings and an endowment of approximately two million dollars.

For the first thirty years of its life, the institution was a small, mostly undergraduate college. However, in 1969, approval was given to the business and economics unit to operate as a separate professional school. The school quickly gained status as a major force in business education and adopted the name School of Business and Management in 1973. After a generous gift from the chairman and founder of Imperial Bancorp in 1996, the school was renamed in his honor The George L. Graziadio School of Business and Management.

The institution changed its name to Pepperdine University in 1970 after the development of graduate and professional schools. During its most dynamic period of growth, the University opened its Malibu campus in 1972. The development of this campus and the establishment of Seaver College of Letters, Arts, and Sciences were made possible by a most generous gift from Mrs. Frank Roger Seaver. Donations from many friends of the University were important in the construction of the buildings at Malibu and in supporting the curriculum.

The University's School of Law, which is approved by the ABA and accredited by the AALS, moved to the Malibu campus in 1977. The Graduate School of Education and

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Psychology offers masters and doctoral programs in the University's campuses in Malibu and greater Los Angeles area. The School of Public Policy, Pepperdine's newest academic unit, offers masters programs on the Malibu campus.

Students who apply for entrance are not unlawfully admitted or rejected because of religious affiliation, race, sex, or national background. On the contrary, men and women of many religious beliefs, cultures, races, and nationalities pursue their studies at Pepperdine University. The policies of the institution are guided by a self-perpetuating Board of Regents.

Pepperdine University is accredited by the Accrediting Commission for Senior Colleges and Universities of the Western Association of Schools and Colleges, and AACSB – The Association to Advance Collegiate Schools of Business.

B. The University Mission Statement  
(Adopted by the Board of Regents 1999)

1. Pepperdine University Mission

Pepperdine is a Christian university committed to the highest standards of academic excellence and Christian values, where students are strengthened for lives of purpose, service, and leadership.

2. Governance

The University's affirmation of its Christian purpose and the influence of its heritage manifest themselves uniquely in the governing structure established by Mr. Pepperdine. Consistent with the autonomous congregational structure of the Churches of Christ, of which he was a lifelong member, Mr. Pepperdine stipulated that special emphasis be given to Christian values and faith while establishing an institution free of direct ownership and control by an ecclesiastical body. In keeping with the founder's provisions, the University's governing authority is vested in a self-perpetuating Board of Regents. Formal legal relationships between the church and the University reside in the controls vested in the Board of Regents, a majority of whom must be members of the Churches of Christ. In addition, members of the governing board also represent a diversity of community and professional interests who are in harmony with and supportive of the University's heritage. Stewardship of the University's mission has been entrusted to men and women of proven character, wisdom, and purpose. The maintenance of the church relationship and the authority of the Regents are set forth in the Articles of Incorporation and Bylaws.

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### 3. Educational Programs

Pepperdine University's mission is to provide education of excellent academic quality within the context of its Christian heritage and with particular attention to Christian values. The heart of the educational life of Pepperdine University is Seaver College of Letters, Arts, and Sciences, with its strong program of general education. The liberal arts curriculum encourages the development of academic competencies that include knowledge of the heritage of the past, an appreciation of science, a development of the aesthetic senses, and the ability to solve problems in the light of available information. The interdisciplinary structure of Seaver College is designed to integrate Christian values into the total curriculum and to unify knowledge around Christian truth. General, pre-professional, and professional programs include training in business, communication, education, fine arts, religion, humanities, law, natural sciences, and social sciences.

The professional schools are regarded as logical extensions of the priorities established in the liberal arts college. Business administration, a discipline particularly advocated by the founder, and education, a subject area which from the beginning has offered the opportunity of providing service to the community, are emphasized respectively in two of the schools of the University. The programs in law and public policy represent a furtherance of the school's commitment to engage in the serious study of human relations and values.

Pepperdine University places great emphasis on teaching. In recent years, the importance of research has come to be acknowledged, and the institution is giving greater emphasis to research on the part of the faculty as a fundamental methodology for improving the quality of teaching while contributing to the body of information and knowledge available to society. Community service is regarded as highly important, and a variety of educational and cultural programs are offered to the community. It is the philosophy of the institution, however, that its greatest services to the community are provided in the lives of its graduates.

### 4. Constituents

Constituents served by the University are drawn from most of the states of the United States and approximately sixty foreign countries. Students represent a wide variety of religious and ethnic backgrounds. The University welcomes the diversity of its student population and seeks to provide an atmosphere in which the whole person - physical, social, intellectual, and spiritual - is developed. The extraordinary natural beauty and almost rural setting of the campus in Malibu make it an ideal place for study, contemplation, and the development of social awareness. The close proximity to the urban metropolitan community of Los Angeles provides a vital link to the challenges of modern life. The relevance and attractiveness of the University's programs are demonstrated by the number and quality of applicants and by the enthusiastic financial support offered by the community.

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5. Faculty

Faculty members must be persons of high ethical and moral standards, and are selected because of their academic qualifications and their promise of success as teachers. They are also chosen with a view to their willingness to support the distinctive philosophy of the institution and to work within it. In the recruitment and selection of faculty, the quality of academic preparation, acceptance of Christian values, and respect for the University's heritage are paramount considerations.

6. Educational Philosophy

The educational philosophy of Pepperdine University is summarized in the following statement that is printed in all the catalogs and graduation programs of the institution. Pepperdine University affirms:

That God is

That He is revealed uniquely in Christ

That the educational process may not, with impunity, be divorced from the divine process

That the student, as a person of infinite dignity, is the heart of the educational enterprise

That the quality of student life is a valid concern of the University

That truth, having nothing to fear from investigation, should be pursued relentlessly in every discipline

That spiritual commitment, tolerating no excuse for mediocrity, demands the highest standards of academic excellence

That freedom, whether spiritual, intellectual, or economic, is indivisible

That knowledge calls, ultimately, for a life of service

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## II. GRAZIADIO SCHOOL OF BUSINESS & MANAGMENT

### A. Introduction

In 1996, the School of Business and Management was renamed to honor its benefactor, George L. Graziadio, chairman and president, and CEO of Imperial Bancorp, who endowed the school with one of the largest gifts ever received by any business school from a single donor. Imperial Bank was recognized as one of the “best banks” in the country by *Inc. Magazine*, and would later be acquired by Comerica Bank. Discussing why he selected Pepperdine, Mr. Graziadio cited the business school’s entrepreneurial spirit, its leadership in educating mid-career professionals, and its dedication to bringing real-life challenges into the classroom.

“Being an entrepreneur,” said Mr. Graziadio, “I have always admired the resourcefulness of Pepperdine and the technological advancements in education that put them on the leading edge. The gift and commitment that Mrs. Graziadio and I have made will help advance the effort to provide the finest business education possible”.

The Graziadio School enrolls students in several distinctive masters’ programs and one undergraduate degree-completion program. The School’s largest program is its part-time MBA program designed for working adults. These programs are conducted in graduate campuses: Irvine in Orange County, West Los Angeles in Los Angeles County, Encino, and Westlake Village in Ventura County. Students in the executive programs attend classes at various locations and full-time students attend classes on the Drescher Graduate Campus in Malibu. The headquarters for the Graziadio School of Business and Management are located at Pepperdine University’s West Los Angeles Graduate Campus.

The programs of the Graziadio School are organized within three learner-focused strategic units: Fully Employed, Full-Time, and Executives. The faculty of the school is organized into 10 academic disciplines: Accounting, Applied Behavioral Science, Business Law, Decision Sciences; Economics; Finance; Information Systems; Marketing; Organization Theory; and Strategy.

The central focus of the academic programs is on high quality teaching addressing applied real-world business. There has been and continues to be a desire for the faculty to be highly experienced in a broad range of practical domestic and international business areas so as to provide an enriched classroom experience. In addition, faculty members are expected to reflect the Christian values of the school through behavior that is collegial and service-oriented.

Accreditation of the Graziadio School by AACSB is a significant part of the strategic plan of Pepperdine University, and the School completed its accreditation plan in August, 1999. The accreditation visitation team met with the School’s faculty, staff, and administration in January, 2000, and accreditation was granted in March, 2000.

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B. Graziadio School of Business and Management's Vision, Mission, and Mission Statement

1. Vision

The Graziadio School of Business and Management will continue to develop its reputation as a high quality, comprehensive private institution with an emphasis on a Christian-value-based education taught from an applied perspective. The School's priority in teaching will remain at the graduate professional level with the working adult being the core student body.

2. Mission

The University's founder, George Pepperdine, was motivated by a desire to help men and women prepare themselves for a life of usefulness in a competitive world. He particularly advocated a business education, coupled with the development of Christian character. It is his outlook that serves to anchor the mission of the School.

3. Mission Statement

The mission of the Graziadio School of Business and Management is to develop values-centered leaders for contemporary business practice through a commitment to an education which is entrepreneurial in spirit, ethical in focus, and global in orientation. As a professional school growing out of the tradition of a Christian University, we seek to positively impact both the society at large, and the organizations and communities in which students and graduates are members. Therefore, we affirm a higher purpose for business practice than the exclusive pursuit of shareholder wealth. We believe that successful management seeks collective good along with individual profit and is anchored in core values such as stewardship, integrity, compassion, and responsibility.

4. Implications of Our Mission

Our mission and reputation for quality attracts students from diverse cultural, educational, and professional backgrounds. Although they come to us with a broad range of educational goals, they are united by a desire for quality education, personal growth, and professional development.

- Faculty. This commitment requires a faculty member skilled both in the classroom and in the business world, who can teach equally well from an experiential model as from a theoretical one, and who seek to integrate teaching, business connections and intellectual contributions. It necessitates sensitivity to

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the diversity of our students and faculty and an environment that encourages differing points of view.

- **Pedagogy.** Our chosen method of accomplishing this mission is by encouraging a continuous process of self-improvement in our students based on a pragmatic, experiential approach to learning about themselves and each other as well as business practice. This process develops interpersonal and analytical skills for solving problems of future importance as well as those focused on immediate need. We affirm that this is best accomplished through building personal relationships with our students and the development of small-group learning environments.
- **Professional Focus.** Further, we realize that for a business education to remain high-quality, it must be responsive to the rapidly changing global business setting, both culturally and technologically. Thus, it requires that we are flexible in delivery, and able to incorporate significant changes in business environments and practices.

#### 5. Implementation of Our Mission

The faculty is actively involved in mission implementation at the Graziadio School. The Faculty Council is the central faculty organizational unit. The seven-member elected Council consults with the Dean and Associate Deans on strategic and operational issues. The Personnel Committee is the central faculty review unit. The elected five-member committee makes recommendations to the Dean and the Associate Dean of Academic Affairs on Faculty tenure, rank, promotion and five-year reviews.

Other faculty committees in the Graziadio School are organized to ensure continuous improvement in the various processes of the School:

The committees are configured and staffed to meet the needs of the school ([Appendix A](#))

The Graziadio School faculty is represented on the University Institutional Review Board (IRB), the University Academic Council, the University Benefits Committee, the University Diversity Committee, the University Faculty Council, the University Grievance Committee, and the University Tenure Committee.

#### 6. Strategic Priorities

In 2003, the Graziadio School engaged in a collaborative, priority-setting process involving its students, staff, faculty, alumni and a number of business leaders.

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From those discussions emerged a series of strategic priorities to support the school's ultimate goal to achieve international distinction for providing relevant and applied knowledge to the business community. This vision is guided by the school's mission to develop values-centered leaders for contemporary business practice.

The following strategic priorities have been identified:

- Live our Values by:
  - Integrating our values throughout the school
  - Recognizing and nurturing the value of people
  - Honoring our entrepreneurial spirit
- Enhance Quality by:
  - Delivering learning experiences that are consistently innovative, rigorous, relevant, integrative and thoughtful and that add value to students' companies, careers, and personal development
  - Delivering administrative services that are consistently seamless and that add value
  - Increasing recognition and resources
    - Enhancing exposure to and partnership with external audiences
    - Developing new resources to support strategic priorities
- Emphasize Relevance and Application by:
  - Focusing on Themes of Excellence
    - Building on a core strength for developing effective leaders
    - Enhancing a long-standing commitment to ethical practice
    - Integrating academic excellence throughout the school

### C. The Intellectual Task

Along with its distinctive background as a Christian institution, Pepperdine University shares the intellectual heritage belonging to all universities. Great principles underlie the existence of a university: truth awaits discovery; knowledge's edge is tentative and must always be open to scrutiny; a spirit of inquiry is a precious commodity. In protecting and furthering such principles, a university must deepen curiosity, enhance a sense of wonder and reverence, sharpen critical thinking, and encourage creativity.

During their college careers, students can learn methods of research and the value of logical processes. They may discover how observation and thinking led to human progress and how such progress has benefited mankind. They may become more critically aware of social and physical environments, learning skills which may improve the human condition. In addition to the student's ability and willingness to learn, no more vital aspect exists in the educational process than a committed and industrious faculty.

The faculty of the Graziadio School of Business and Management is dedicated to helping students develop their abilities to learn, helping them to develop the whole person, moving beyond cognitive knowledge to deal with patterns of behavior and attitudes of genuine integrity. Classes are conducted in small-group settings in which a rigorous, yet

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applied curriculum is combined with student-faculty relationships which emphasize peer learning.

#### D. Administrative Organization

The Graziadio School of Business and Management is one of the five Schools of Pepperdine University. The others are Seaver College, the Graduate School of Education and Psychology, the School of Law, and the School of Public Policy. Although each functions somewhat independently under its dean, the five are tied together by the leadership of the Provost and joint participation on the University Academic Council. The organization charts in [Appendix B](#) and [Appendix C](#) show the relationship of the Graziadio School of Business and Management to the University's administration.

#### E. Programs

The Graziadio School's business degree programs have grown out of the School's mission and serve the needs of distinct student populations. There are degree programs designed to serve the needs of Fully-Employed adults, Executive students, and Full-time students. In addition to these degree programs, students may enroll concurrently in the Graziadio School and the Pepperdine University School of Law to receive a joint JD/MBA, or the Graziadio School and the Pepperdine University School of Public Policy to receive a joint MBA/MPP. (Details for these programs and requirements can be found in the Graziadio School Academic Catalog.)

#### F. Curriculum and Design Change

##### PROCESS FOR CURRICULUM DESIGN AND CHANGE:

###### Preamble

The University faculty is responsible for developing appropriate curricula for the benefit of the students and community and in support of the mission, values and strategy of the university and the school. As the elected representatives of the Graziadio School's faculty, Graziadio Faculty Council (GFC) has undertaken the task of designing a curriculum change and development process for our school. The purpose of this initiative is to ensure that all curriculum additions, deletions and revisions follow an objective, consistent and transparent process, include adequate supporting information, such as estimates of market demand, back-up data, and involve faculty participation and approval. The Dean has joined the GFC in recognizing the importance of faculty governance in creating an effective curriculum review process and suggested (and GFC agreed) that the new process should serve three key purposes:

a) Faculty ownership of curriculum design, development, change and learning assurances.

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- b) Adoption of appropriate cooperative checks and balances of the faculty and administration, and
- c) Assurance that the process is not so bureaucratic that it would impede the innovation but it assures enhancing educational value for our students and community.

The full text of the Curriculum Change Proposal Process and can be found in [Appendix K](#).

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### **III. FACULTY-INSTITUTION RELATIONS**

This section defines the relationship between the faculty member and Pepperdine University. It reflects policies, unless otherwise noted, specified and approved at the University level. University policies are direct quotes and may not be changed or deleted without the approval of the University.

#### **A. Nondiscrimination Policy**

Pepperdine University does not unlawfully discriminate on the basis of any status or condition protected by applicable federal or state law. Pepperdine is religiously affiliated with the Churches of Christ. It is the purpose of Pepperdine to pursue the very highest employment and academic standards within a context that celebrates and extends the spiritual and ethical ideals of the Christian faith. While students, faculty, staff and members of the Board of Regents represent many religious backgrounds, Pepperdine reserves the right to seek, hire and promote persons who support the goals and mission of the institution, including the right to prefer coreligionists.

Further details of this policy are found in the University Equal Opportunity Policy. The University's Equal Opportunity Officer is responsible for the overall implementation and effectiveness of the Policy. He or she shall monitor and report on the University's commitment to providing equal employment opportunities and a nondiscriminatory working environment. A copy of the Equal Opportunity Policy may be obtained from the University's Equal Opportunity Officer, at Ext. 4208.

#### **B. Sexual Harassment Policy**

Pepperdine University reaffirms the principle that its students, faculty, and staff have a right to be free from sexual discrimination in the form of sexual harassment by any member of the academic community.

Sexual harassment is defined as an attempt to coerce an unwilling person into a sexual relationship; or to subject a person to unwanted sexual attention; or to punish a refusal to comply; or to create a sexually intimidating, hostile, or offensive working or educational environment. This definition will be interpreted and applied consistently with accepted standards of mature behavior, academic freedom and the mission of the University.

Sexual harassment in any situation is reprehensible; it is particularly damaging when it exploits the educational dependence and trust between students and faculty. When the authority and power inherent in faculty relationships with students, whether overtly, implicitly, or through misinterpretation, is abused in this way, there is potentially great damage to individual students, to the persons complained of, and to the educational climate of the University. While a particular interaction must be offensive and not consented to in order to be defined as harassment, faculty members and other individuals in positions of authority should be sensitive to the questions about mutuality of consent

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that may be raised and to the conflicts of interest that are inherent in personal relationships where professional and educational relationships are also involved.

Individuals who believe they have been sexually harassed may obtain redress through the established informal and formal procedures of the University. Complaints about sexual harassment will be responded to promptly. The right to confidentiality of all members of the academic community will be respected in both informal and formal procedures, insofar as possible. This policy explicitly prohibits retaliation against individuals for bringing complaints of sexual harassment. Formal procedures will not be initiated without a written, signed complaint. An individual found to be guilty of sexual harassment is subject to disciplinary action for violations of this policy, consistent with existing Procedures. Assistance and counsel are available through the University's Equal Opportunity Office (Ext. 4208) or Personnel Services (Ext. 4397). *For the general policy against harassment, see Pepperdine University Employee Information Bulletin.*

### C. Substance Abuse Policy

#### 1. Purpose

In keeping with the mission of the University and its commitment to provide an alcohol- and drug free work environment, the University has formulated the following policy regarding alcohol and drugs.

#### 2. Applicability

This policy applies to all employees, including those persons who are classified as faculty, staff, and student workers. This policy also applies to independent contractors employed directly by the University.

#### 3. Definitions

Substance means any drug (including alcohol) that has known mind or function altering effects on a human subject, specifically including psychoactive substances and including, but not limited to, substances controlled or prohibited by state and/or federal law. Alcohol in this context means beer, wine, and all forms of distilled liquor or any beverage, mixture, or preparation containing ethyl alcohol.

#### 4. Prohibitions

The University prohibits the illegal use, possession, transport, manufacture, distribution, promotion, or sale of drugs, drug paraphernalia, or look-alike (simulated) drugs and the unauthorized use or possession of alcohol while performing work for the University or as part of any University activity.

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University employees and independent contractors must not report for work or be on University controlled property while under the influence of any drug, alcohol, or other substance which will in any way affect their work performance, alertness, coordination, or response; or affect the safety of others on the job; or which would affect their ability to appropriately represent the University.

At no time or place shall an employee use or be under the influence of drugs or alcohol or any mind-altering substance while driving, riding, or sitting in a University vehicle.

#### 5. Medically Authorized Drugs

Any employee who is required to use a medically prescribed or over-the-counter drug which may impair or affect the employee's alertness, coordination, or responses must advise his or her supervisor of this fact before reporting to work. It is the employee's responsibility to determine whether or not a prescribed or over-the-counter drug may impair his or her job performance.

The University reserves the right to require any employee using prescribed or over-the-counter drugs to provide a physician's certification that use of the drug will not impair the ability of the employee to perform his or her job properly and safely.

#### 6. Fitness for Duty, Examinations and Testing

The University reserves the right to require that an employee submit to a physical examination or clinical testing designed to detect the presence of alcohol and/or drugs when there are reasonable grounds for believing the employee is under the influence of, or improperly using, alcohol and/or drugs in violation of this policy.

#### 7. Employee Assistance

Employees who voluntarily seek assistance for a substance abuse related problem may do so without jeopardizing their employment status provided a recognizable treatment or rehabilitation program is followed, and work performance is acceptable. In some cases, temporary reassignment to another position may be necessary.

Staff employees are expected to seek assistance through Personnel Services. Faculty employees are expected to seek assistance through the Office of the Provost. For student workers, professional assistance is available through the Health and Counseling Center.

Information concerning employees who participate in treatment and/or rehabilitation programs will be accorded confidential status. Only those persons who have need to know shall have access to such information.

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## 8. Health Risks

The University is very concerned about the harm to faculty, staff, and students using or abusing drugs and alcohol. All drugs are toxic or poisonous if abused. Health risks of drug abuse include, but are not limited to, sleep disorders, confusion, hallucinations, paranoia, deep depression, impotence, liver and kidney damage, cardiac irregularities, hepatitis, and neurological damage. Abuse of either alcohol or drugs during pregnancy increases the risk of birth defects, spontaneous abortion, and stillbirths.

Alcohol is a depressant. It depresses the central nervous system and can cause serious, irreversible physical damage. Excessive drinking damages the liver, resulting in cirrhosis. Chronic alcohol abuse also causes hypertension, cardiac irregularities, ulcers, pancreatitis, kidney disease, cancer of the esophagus, liver, bladder, or lungs.

## 9. Reporting Obligations

In accordance with and pursuant to the requirements of the Drug free Workplace Act of 1988:

any staff employee must notify the director of Personnel Services within five days of any conviction for criminal conduct related to drugs in the workplace; and

any faculty employee must notify the Office of the Provost within five days of any conviction for criminal conduct related to drugs in the workplace.

## 10. Disciplinary Action

Employees who violate this policy in any way, or who refuse to cooperate with any aspect of this policy, will be subject to appropriate disciplinary action, up to and including termination of employment, even for a first offense. Independent contractors who violate this policy may be barred from the premises, even for a first offense.

*See Pepperdine University Employee Information Bulletin for the general policy regarding substance abuse.*

### D. Immigration Reform and Control Act of 1986

Employers must request documentation to establish both work authorization and the identity of new hires. The Associate Dean of Academic Affairs is responsible for the record keeping of all the documents provided by the full-time and part-time faculty at the time of hire. Therefore, all new faculty are required to present original documents that certify both work authorization and identity upon acceptance of an offer of employment or on the first day of work - as long as the form is completed at the same point in the

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employment process for all new faculty. Failure to provide required documents in a timely fashion will result in the suspension and/or termination of the faculty member's employment.

For more information and/or clarification on this mandatory verification of all new hires, please contact the Office of the Associate Dean of Academic Affairs.

E. Appointment Procedure for tenure-track faculty

The procedure to appoint new tenure-track faculty is developed by the School within the guidelines of the University. It begins with the identification of the position or positions needed by the Department Chairs, in collaboration with their faculty, and direction from the Dean or Associate Dean of Academic Affairs to fill the position or positions. A national or international search for qualified candidates then ensues. The following process is designed to ensure that all qualified candidates will receive full and complete consideration in a timely fashion:

1. The Department Chair appoints a search committee for positions available to the department. The Department Chair may be the Chair of the search committee.
2. Applications for faculty positions are received in the Associate Dean of Academic Affairs office. The Chair of the search committee makes the initial determination as to whether or not the applicant is qualified for the position advertised based on academic or professional qualification standards for faculty published by AACSB. All tenure-track candidates are expected to be academically qualified according to Graziadio School and AACSB standards. The search committee meets to review and confirm the qualified candidate pool.
3. The search committee evaluates the applicants based on teaching evaluations, relevant work experience, intellectual contributions, quality and relevance of terminal degree, and fit with the Christian mission of the University. Based on their professional judgment and the University's affirmative action policy, the committee recommends to the Chair up to three candidates for each position for on-campus interviews. Affirmative action candidates include members of the Churches of Christ, ethnic minorities, and women.
4. The Chair sends the recommendations to the Associate Dean of Academic Affairs, who sends the candidate's packages to the Dean and other Associate Deans as appropriate for review.
5. With the approval of the Dean, up to three candidates for each position are brought on-campus for interviews within the school. In addition to meeting with appropriate faculty, four other meetings are scheduled: meetings with the President, Provost, Dean and Associate Dean of Academic Affairs. Depending on availability, other Associate Deans are scheduled for meetings as well.

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6. After interviews with all the candidates for a position, the search committee evaluates the candidates, and sends a recommendation on each candidate interviewed to the Department Chair. The Chair sends the recommendations to the Associate Dean of Academic Affairs. The Dean receives feedback from the President and Provost.

7. The Dean must approve the recommendations for tenure-track hires. The Associate Dean of Academic Affairs, in consultation with the Dean, develops an offer letter for candidates that receive approval for employment offers.

#### F. Appointment Procedure for Practitioner Faculty

The procedure to appoint new practitioner faculty is developed by the School within the guidelines of the University. Practitioner faculty members are participating faculty according to AACSB standards, and serve the school primarily through teaching, business connections, and service. Some practitioner faculty may serve the school through intellectual contributions. All practitioner faculty candidates are expected to be professionally qualified or academically qualified according to Graziadio School and AACSB standards.

Department Chairs identify candidates for practitioner faculty positions. Candidates should be evaluated on teaching experience, work experience, relevant intellectual contributions, quality and relevance of a terminal degree, and fit with the Christian mission of the University.

The Department Chair makes recommendations for practitioner faculty hires, based on support from within the appropriate discipline. Once a candidate is identified, a meeting is arranged with the Associate Dean of Academic Affairs. After that meeting, the Associate Dean of Academic Affairs consults with the Dean to determine whether an offer of hire should be made.

#### G. Appointment Procedure for Supporting Faculty

The procedure to appoint new supporting faculty is developed by the School within the guidelines of the University. Supporting faculty serve the school primarily through teaching. Candidates for supporting faculty positions may be identified through a variety of means, including unsolicited and solicited inquiries. These candidates are forwarded to Department Chairs who make final hiring decisions for supporting faculty positions. Input and mentoring from others in the appropriate discipline is encouraged.

Supporting faculty who teach 16 or more credits per year are considered full-time faculty. Supporting faculty without a terminal degree will be appointed at the rank of instructor, and those with a terminal degree at the rank of lecturer.

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#### H. Special Appointments

The Dean may make special visiting faculty appointments, and may exercise discretion in assigning the position title, along with the term length of these special appointments. The appointments should generally be short-term, 3 years or less. The terms of these appointments may vary, but all visiting faculty are expected to contribute to a discipline, so any pending re-appointment or candidacy for tenure-track or practitioner faculty status should receive support from the appropriate discipline and respective Department Chair.

#### I. Tenure Policy, Pepperdine University

The Graziadio School of Business and Management adheres to the Tenure Policy Statement as adopted by Pepperdine University. Faculty members are selected because of their academic and personal qualifications and the expectation of their success as teachers. They are also chosen because of their willingness to support the distinctive philosophy of the University and the school, and to work within it. Quality of academic preparation and promise, acceptance of Christian values, and respect for the University's religious heritage are paramount considerations in the recruitment, selection and promotion of faculty.

The Tenure Policy Statement is available through the Provost's office at <http://www.pepperdine.edu/provost/policies/>.

#### J. The Graziadio School's Faculty Tenure Process

In that the official tenure process may change from time to time, the Graziadio School's Faculty Tenure Process is set forth in detail in [Appendix D](#) to this Handbook. The current year's forms (i.e. Faculty Data Form, Peer Review Form and the Supervisor Evaluation Form) and additional information are located at: <http://www.pepperdine.edu/provost/policies/>

#### K. Promotion

Pepperdine University follows the rank system customary in American colleges: instructor, assistant professor, associate professor, and professor. The following standards serve as guides in making appointments and promotions:

##### 1. Instructor/Lecturer

A master's degree or equivalent is usually required for employment as an instructor. Individuals with terminal degrees may be appointed to the rank of instructor, lecturer or practitioner.

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2. Assistant Professor

It is expected that all persons appointed to this rank will hold the doctorate or equivalent in the appropriate discipline.

3. Associate Professor

It is expected that all persons appointed to this rank will hold the doctorate or equivalent. The rate of progress toward this rank usually will require seven years of teaching experience after acquiring the doctorate or a minimum of ten years total teaching or related experience plus the doctorate. The time periods listed for this rank may be shortened in cases of unusual creative achievements or contributions to knowledge through research and publications.

4. Professor

A faculty member may be eligible for promotion to full professor after fifteen years of successful teaching or related experience in addition to the doctor's degree. Creative achievements of significant research and publications may result in earlier appointment to this rank.

Promotion should not be regarded as automatic upon the attainment of minimum requirements stated in the foregoing standards. Promotion is made only upon recommendation of the appropriate Department Chair, review by the Faculty Personnel Committee, and the approval of the Dean, the Provost, and the President. All who participate in moving a faculty member toward promotion have the responsibility of evaluating his or her ability, effectiveness, dedication to the total educational program of the University, and the contribution to its welfare.

Experience as a factor in promotion is defined as responsible and meaningful participation in educational activities of which the following are illustrative:

- Full responsibility for one or more classes as a teaching assistant while pursuing a graduate program.
- Full- or part-time employment as a faculty member of a recognized academic institution.
- Significant involvement in the practice of a profession that is reflected in the faculty member's area of teaching may be substituted for teaching experience up to a maximum of five years.

L. Placement and Advancement Process

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Prospective faculty members in the non-tenure tracks are also required to submit evidence of their suitability for professorial rank in the Graziadio School. This evidence, consisting of a record of teaching at the university level, business experience, employment or ownership of business ventures, along with evidence of teaching ability, evidence of intellectual contributions, and any other evidence that may be requested by the Department Chair, should be presented to the academic department for review and comment before submission to the Personnel Committee. The Personnel Committee then has the responsibility to evaluate the material for a recommendation of placement as a professionally qualified member of the teaching staff. Appropriate steps include (lecturer, practitioner, and executive in residence) for the ranking of non-tenure-track teaching staff.

For initial placement, the policy of the Graziadio School asks the prospective faculty member to submit records of teaching experience, business experience, and intellectual contribution to the Department Chair who forwards them with comments to the Faculty Personnel Committee Chair for review. This Committee has the responsibility for evaluating and recommending placement of tenure track and non-tenure track faculty in the appropriate rank. The Committee provides recommendations to the Dean. Final approval is given by the University administration.

Individuals wishing to be considered for promotion and/or tenure should submit appropriate documents to their Department Chair for consideration by the Faculty Personnel Committee. Because assessment for these purposes encompasses overall performance, student, peer, school and University committee, program director, and Graziadio School of Business and Management administration evaluations may be considered.

## M. Faculty Evaluation

### 1. Introduction

This section describes the process for the annual performance review of all full-time participating faculty members of the Graziadio School of Business and Management. It is based on the belief that annual performance review has seven objectives:

- a) Act as a guide to assist each faculty member in managing the diverse aspects of an academic career;
- b) Provide clear direction to each faculty member concerning what is expected of him or her;
- c) Provide regular annual feedback concerning progress toward satisfying those expectations;
- d) Be fully consistent with the process of review for promotion, tenure, and five-year review for tenure and tenure track faculty;

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e) Be a valuable guide for chairs and deans in arriving at decisions concerning salary adjustments or other incentives;

f) Be a basis for goal-setting each year so that each faculty member has the opportunity to develop individual potential in a way that most benefits the students, the Graziadio School, the University, the business community and relevant professional organizations;

g) Aid the faculty member in achieving collegial relationships with other faculty.

## 2. Evaluation Criteria

The University's policy is that faculty evaluation shall be based on three major areas: teaching, intellectual contribution, and service. The Graziadio School, in complying with that policy, will expect that each faculty member achieve a mix of these three major areas each year based on the needs of the school and the individual faculty member's goals and aspirations. The Graziadio School faculty is also expected to participate in business connections that are related to the Graziadio School mission and the faculty member's teaching assignments. In addition, the School holds faculty members to a high standard of collegiality as outlined in the statement in [Appendix E](#). This document applies to the faculty member's interactions with the school's various stakeholders – students, alumni, staff, faculty members, and administrators. Failure to meet these standards will impact not only the annual evaluation process, but the ability to achieve promotion and/or tenure.

Normally, a faculty member will be expected to make some appropriate contribution in each of these areas each year, but the Dean of the Graziadio School of Business and Management (hereinafter referred to as the Dean), the Associate Dean of Academic Affairs (hereinafter referred to as the Associate Dean), and a Department Chair may establish more focused annual agendas with a faculty member.

The faculty member who is striving for excellence will be aiming at the highest levels of performance in terms of quantity and quality. While precision is impossible, there is an advantage in describing more clearly some of the benchmarks that will signal the various levels of contribution in the four major areas of evaluation.

### a) Teaching

Good teaching is the essential characteristic of a successful faculty member. Through good teaching we prepare our students to become productive members of society and competent practitioners of the many techniques and theories presented during their courses of learning. A good teacher is characterized by collegial relationship with other faculty, mastery of the material to be taught, conscientious and energetic striving to stay abreast of new developments in the

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specialty area, the appropriate use of technology, attempting to integrate material across the curriculum, and willingness to help students.

The overall evaluation of teaching effectiveness should include a review of all material that gives an indication of teaching performance. This includes but is not limited to student evaluations, peer evaluations, syllabi, grade distributions, and examinations. Contributions to teaching include the development and implementation of new courses and programs, the development of instructional materials, and mentoring or counseling students.

b) Intellectual Contribution

The goal of intellectual contribution is the advancement of knowledge. The outcomes or consequences of intellectual contribution are the ability to stimulate students, the increased understanding of a subject by other researchers, students and practitioners, and greater visibility in the academic and business community for the faculty and the school. At the Graziadio School, the faculty is also expected to be conscious of the importance of working with colleagues to achieve professional growth. Therefore, the willingness of a faculty member to assist departmental or school colleagues on scholarly pursuits will be recognized.

Peer evaluation is the most persuasive evidence of intellectual contribution and should be the highest priority for the faculty member. However, it is recognized that what is reasonable in terms of quantity and quality may vary by discipline. Similarly, what constitutes acceptable evidence of high quality may vary by discipline. Faculty members are encouraged to focus on publications or presentations of applied research or instructional development that reflect the mission of the Graziadio School.

For tenure-track faculty, it is recognized that it is not possible to state with precision a minimum amount of intellectual contribution that would guarantee a successful application for promotion and/or tenure. Quality as well as quantity must always be balanced to determine the suitability of the applicant's intellectual contribution. Therefore, the department and its chair should communicate their minimum expectations as to quantity, quality, and types of intellectual contribution necessary for their support of a faculty member's application for promotion and/or tenure as detailed in the Promotion and Tenure documents of the Graziadio School. Expectations may vary over time as the aspirations and needs of the individual faculty, the Graziadio School and University change.

c) Service

Through service to the individual department, the Graziadio School, and the University, the faculty member contributes in a tangible way to the functioning of the organization. Service can take many forms, but every participating faculty

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member is expected to be actively involved. The service dimension reflects the individual's willingness to share his or her time, energy, and imagination collegially and therefore is a vital determinant of success as a professor. In addition to university-related service, the faculty member should participate in service activities to professional societies, civic or community groups, government agencies, or some other external organizations.

d) Business Connections

The Graziadio School is committed to delivering a high quality education that reflects current business practices. To ensure this, the Graziadio School faculty is expected to interact with the business community through business activities that are related to the mission of the School and to the area in which the faculty teaches. Business connections are valued on the extent to which they support a faculty member's teaching or intellectual contributions. Examples of business connections include:

- Presentation at a regional/national/international trade association meeting.
- Service on a Board of Directors of a regional/national/international business.
- Consulting to a regional/national/international business.
- Bringing in businesses to participate in a class, school, or university project.
- Collaboration with a business that leads to an application in teaching, research, or case-writing activities.
- Inviting practitioners to be guest lecturers or speakers in a course.
- Creating networking opportunities between practitioners and students.
- Attendance at a trade association meeting.
- Ownership of a business that markets to businesses or consumers.

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### 3. Evaluation Matrix

The evaluation of faculty is both an objective and subjective process. The evaluation matrix below conveys the permissible weights in each of the four areas of annual evaluation for tenure and tenure-track faculty. At the time of the preparation of the annual faculty development plan, the faculty member, with the agreement of the Department Chair, can determine how his/her performance for the upcoming year will be evaluated.

Teaching	Intellectual Contribution	Service	Business Connections
35-50%	15-35%	10-35%	5-20%

The combined weights for teaching and intellectual contribution should normally equal at least 60%. It should be noted that, in consultation with the department chair, the faculty member may vary the weights within the stated ranges from year to year.

For practitioner faculty the following matrix applies:

Teaching	Intellectual Contribution	Service	Business Connections
35-75%	5-35%	10-35%	10-30%

### 4. Applicability of the Evaluation System

The Department Chairs may utilize interpretive documents, such as rubrics or grids, to aid in the annual evaluation process, though these documents must be in alignment with the evaluation system described in this document. Standards should differ for practitioner and tenure-track faculty, particularly in the consideration of quality and quantity of intellectual contributions. Any interpretative documents should be widely communicated to faculty.

The evaluation system described in this document will be used annually to evaluate all participating faculty other than Department Chairs, and Associate Deans. It will also be the essential guideline for deliberations on promotion, tenure, and five-year reviews, and merit salary increases.

### 5. Evaluation Process and Timetable

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The evaluation process is by its nature relative in that each faculty member's achievements during the year are compared to and ranked against the achievements of his/her colleagues in his/her department and the Graziadio School.

- a) During January, faculty members will be asked to input their contributions for the year and this data will be made available to their Department Chairs. Department Chairs will begin to schedule meetings with the individual faculty members to conduct the annual reviews.
- b) During February, Department Chairs will meet with individual faculty members to share data and perceptions on the performance for the prior calendar year. Development plans for the coming year will also be discussed and developed.
- c) During March, Department Chairs prepare drafts of annual evaluations and rate each individual faculty member in each category. The Department Chairs meet as a group with the Associate Dean of Academic Affairs to conduct a school-wide calibration process. A final set of recommended ratings is developed and sent to the Dean for approval.
- d) By the end of March, the Dean responds to the recommendations with merit increase determinations and the Department Chairs finalize their ratings and annual evaluations. These evaluations should be distributed to individual faculty members by April 15<sup>th</sup>.
- e) Following these meetings, the Associate Dean will prepare original contracts, and submit them to the Dean, Provost and President for review and approval. Contracts should be sent to faculty members by the end of June.

After the contracts are returned, they will be mailed to the faculty and the faculty will have a minimum of two weeks to respond.

#### N. Five Year Review

Tenured faculty members are required to participate in a developmental review every five years. See [Appendix F](#) for the Five Year Review Process and [Appendix G](#) for the Five Year Review form.

#### O. Grievance and Mediation Committee

The Grievance and Mediation Committee (GMC) was established to investigate and/or hear cases concerning alleged unprofessional behavior by tenured, tenure track, contract, or adjunct faculty members. See [Appendix H](#) for charter of responsibilities and procedures of the committee.

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#### **IV. FACULTY RESPONSIBILITIES**

##### **A. Teaching Load**

###### **1. Full-Time Teaching Load**

The normal teaching load for full-time faculty at the Graziadio School of Business and Management is 24 units per academic year. Normally faculty members receive one unit teaching credit for each 50 to 60 minute class period per week for which they have academic responsibility. Examples of exceptions include on-line classes, limited residency classes, and executive degree program classes.

In consultation with their Department Chair and consistent with the faculty members' developmental plan, tenured and tenure track faculty may teach two trimesters to provide time to focus on research and intellectual contributions in the third trimester. Department Chairs must aim to attain adequate full-time faculty teaching coverage in all trimesters, including the summer. Faculty who do not have teaching responsibilities in a trimester will need to ensure their service responsibilities are fulfilled, and this consideration may impact committee choice. Department Chairs assign teaching responsibilities in cooperation with the Dean and the Associate Deans.

###### **2. Overload**

Overload teaching is strongly discouraged. An overload is defined as more than the contracted units in an academic year. However, a need for overload teaching within a discipline may be established by the Department Chair. Once this need is established, a faculty member may accept an overload in consultation with their Department Chair. If approved by the Department Chair and the Associate Dean of Academic Affairs (as specified below), the overload classes will be included in the annual class schedule. The faculty member may designate which units will be paid as overload. If the faculty member does not designate which courses will be paid as overload, overload pay will not be received until the trimester in which the faculty member teaches more than the contracted units.

If a faculty member requests to teach an overload, the Department Chair may approve up to an additional four units per academic year. More than four units must be recommended by the Department Chair and approved by the Associate Dean of Academic Affairs. Generally, practitioner faculty should receive priority for overload teaching.

In general, overloads will only be approved if the additional units will not interfere with the faculty member's ability to meet expected performance levels in teaching, intellectual contributions, service, and business connections. If overload teaching is

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approved, the faculty member is encouraged to accept overload pay. If the faculty member chooses to receive credit toward reassigned time during the following academic year instead of pay, he/she must submit the request in writing through his/her Department Chair to the Associate Dean of Academic Affairs. Only under exceptional circumstances will a faculty member be able to accumulate more than eight units of reassigned time.

### 3. Reassigned Teaching Load

Awards for reassigned time, primarily for the pursuit of IC are offered on an academic year basis. Depending on the program/award, recommendations are made to the Dean by Department Chairs, Associate Dean of Academic Affairs, or the Faculty Council. The faculty member will be assigned less than a normal teaching load for a specified period of time in order to complete a designated project. In addition, some faculty members receive reassigned time to fulfill administrative duties.

### 4. Contract Renegotiation

Faculty members may request changes in their contractual obligations based upon developments in their careers and personal lives. Granting these changes is at the prerogative of the University. The faculty member applies, in writing, to the Associate Dean of Academic Affairs. The Associate Dean consults with the Dean, and other Associate Deans as appropriate, considering both the request and the needs of the Graziadio School. Based on the needs of the individual and the needs of the University and School, the Associate Dean and faculty member negotiate the terms and timing of the load reduction. In general, reduced loads are accompanied by corresponding reductions in compensation. Tenure may be retained only if the approved load is 16 credits or more. These changes must be approved by the Dean and the Provost. The purpose of this process is to provide flexibility to the faculty member while meeting the needs of the School for full-time class coverage.

## B. Department Chairs

The position of Department Chair is a full-time administrative faculty appointment that reports to the Associate Dean of Academic Affairs.

### 1. Appointment Process

The appointment of a Department Chair is a collaborative process between the faculty, Associate Dean of Academic Affairs, and the Dean. A Chair is appointed for a three-year term in an administrative capacity by the Associate Dean after consultation with the Dean and the faculty of the department. The Chair's term begins on August 1 and ends three years later on July 31. He/she may be reappointed for additional terms. A Department Chair's performance is reviewed annually, based

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on feedback from the faculty they supervise, as well as those with whom they interface on administrative matters.

The appointment process begins during the Spring trimester prior to the end of the current Chair's appointment. Each department member is requested to submit to the Associate Dean a list of members of the department who are acceptable to him/her as Department Chair. The Associate Dean shall then list candidates who have agreed to serve and who appear on one third or more of the lists, and request that each faculty member of the department submits feedback on the candidates. The Associate Dean evaluates the candidates, discusses them with the Dean, and announces her/his decision by June 1, to allow for an orderly transition.

## 2. Responsibilities

The Department Chair's primary responsibility is development of tenure track, tenured, practitioner, and supporting faculty.

Faculty development involves setting goals, providing support, and monitoring progress. This includes, but is not limited to, an annual evaluation process. The process will begin each calendar year with the Chair meeting with each member of his/her department during February to discuss a developmental plan for the next calendar year. The purpose of the plan is to encourage and foster teaching excellence, intellectual contributions, business connections, ethical and collegial behavior, and service to the community, the Graziadio School, and university. In February of the next year, the Chair will again meet with the faculty member to discuss progress and evaluate accomplishments made during the previous year. This evaluation will form the basis for the Chair's recommendations on reappointments, promotion, tenure, and/or annual review for merit increases.

In addition, the Department Chair's duties and responsibilities include:

- a. guiding and mentoring faculty as specified in promotion and tenure process documents, which shall include (but is not limited to) a third year review;
- b. guiding and mentoring practitioner faculty;
- c. identifying qualified supporting faculty members and monitoring their performance in the classroom; making sure there are mechanisms in place to mentor supporting faculty within a discipline;
- d. representing the department to the university community and serving as a channel of communication on program, personnel, and budget matters;
- e. making, in collaboration with the Dean, Associate Deans, and the faculty involved, faculty work assignments;

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f. resolving student problems, in consultation with the Associate Deans, program directors, and/or involved faculty members;

g. managing the administrative operations of the department including calling and leading department meetings, managing flexible course scheduling, allocating faculty development funds, and preparing reports.

The Department Chair will serve on one or more committees. The first is the Department Chairs committee that is chaired by the Associate Dean of Academic Affairs. The committee may invite other Associate Deans to participate. The primary function of the committee is to review and work to resolve issues related to the faculty. Three Department Chairs will serve on the Graziadio Business School curriculum committee that reviews and recommends action on curriculum changes in all programs in the Graziadio School. These three chairs will be chosen by election from the Department Chairs committee. Department chairs may also serve on other school-wide or university-wide committees, but generally not in a chair capacity.

### 3. Compensation

The Department Chair will be compensated in two ways. First, the Chair receives reassigned time for his/her administrative appointment. Before teaching an overload course, the Chair must seek approval from the Associate Dean of Academic Affairs. Second, the Chair will receive a stipend

### C. Professor Emeritus

Any full-time Professor, in the six months prior to, or in the 24 months following retirement, may request or be considered for the privileges and benefits associated with the honorary rank of Professor Emeritus within the Graziadio School of Business and Management. To be considered, the retiring faculty member submits materials supporting his/her application to the Department Chair. The Department Chair submits the materials, along with a recommendation to the Personnel Committee for consideration. The Personnel Committee sends its recommendation to the Dean of the Graziadio School and the Dean sends a recommendation to the Provost who bestows the rank of Professor Emeritus.

The minimum criteria for consideration to receive the special privileges and benefits that accompany the honorary rank of Professor Emeritus are as follows:

1. Ten years or more full-time, professorial service within the University;
2. The rank of Associate or Full Professor upon retirement;
3. Visibility in and service to, his/her field of academic specialization;

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4. Evidence of continuing leadership within the Graziadio School;
5. A record of positive moral and ethical behavior, inside and outside the University;
6. And, a willingness to remain associated with the School and to serve when called upon.

Once bestowed, the privileges and benefits associated with the rank of Professor Emeritus may be declined by the retired faculty member for personal reasons. The rank may also be withdrawn by the Dean upon the recommendation of the Personnel Committee, but only for just cause.

The Graziadio School will recognize and support its Professors Emeritus in the following ways:

1. Special recognition at a graduation ceremony at the time of retirement;
2. Notification of retirement, and the awarding of the honorary rank of Professor Emeritus, in both the internal and external media;
3. Name listed in the Graziadio School catalog (no picture required);
4. Presentation of a special medallion to be worn at future graduations, or whenever academic regalia are worn;
5. Continued use of his/her computer system and e-mail address;
6. Continued encouragement and support of his/her participation in scholarly activities including notification of conferences, use of library services, and use of office space at any Center on a "space available" basis;
7. Invitation to select School and University functions available to full-time faculty;
8. Continued access to faculty benefits for retired employees, as defined by University policy.

Department Chairs will be encouraged to use Professors Emeritus as mentors and a source of intellectual and moral support for members of the faculty.

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D. Outside Activities

1. Other Teaching Assignments.

Full-time faculty members must acquire advance, written approval before accepting a work assignment from any other school, college, or university, including another school within Pepperdine University. The faculty member applies to his/her Department Chair who considers the impact on the faculty member's ability to perform in the areas of teaching at the Graziadio School, intellectual contribution, service, and business activities. The application must be recommended by the Department Chair and then approved by the Associate Dean and Dean. Generally, teaching outside the Graziadio School should be on an overload basis. Faculty members must request approval on a semester-by-semester basis, and ongoing teaching activities outside the Graziadio School of Business and Management are generally discouraged.

2. Relevant Business Endeavors

The Graziadio School of Business and Management has, since its founding in 1969, earnestly and diligently supported the mission of Pepperdine University in the "education of the entire person." Major objectives of the faculty are the provisions of "relevance" and "currency" within the classroom. Relevance and currency can be fostered by faculty being actively involved in the pursuit of their specialty in the business world. Faculty are encouraged, similar to faculties in other professional schools such as medical and architectural faculties, to practice their specialties in order to provide quality "field case" information relevant to the theoretical material emanating from the body of literature of their specialty. This is a distinctive feature of the Graziadio School.

The provisions of "relevance" and "currency" in the classroom are consistent with the School's mission of providing a theoretical and applied business education. Faculty members are encouraged to produce intellectual contributions in the area of applied scholarship to complement the active practice of their profession in the world of business and management. Maintaining currency through scholarship and business connections will assure the incorporation of appropriate experiences into the classroom, thereby enabling the Graziadio School to remain in the forefront in business education.

Faculty members shall regard their responsibility to the School as striving for excellence in teaching, intellectual contributions, service to the School, university, and community, and business connections. It is the individual faculty member's obligation, and the Department Chair's duty, to insure that these academic responsibilities are not compromised by external activities.

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Professional activities to be considered as part of the evaluation process are to be reported to the faculty member's respective Department Chair during the evaluation period. Sufficient detail must be provided to verify that the activities are supportive of the faculty member's teaching field, and/or support the development of intellectual contributions.

E. Conflict of Interest

Outside activities shall not place the faculty member in a situation where there may be a conflict of interest, or the appearance of a conflict of interest, between private interests and duties and responsibilities as a faculty member. The following activities shall be deemed a conflict of interest or the appearance of a conflict of interest: being employed by or consulting for a student with the student serving in a supervisory capacity while that student is enrolled in the faculty member's class, or while still enrolled in the Graziadio School of Business. Exceptions to these guidelines must be approved in writing by the Dean.

Faculty members may be asked to report professional activities to the Graziadio School administration, and they are also expected to comply with University policies for reporting professional activities.

F. Teaching and Classroom Management Standards

Faculty members are expected to meet all scheduled classes promptly. Any make-ups should be determined early in the semester, and if possible, be reflected in the syllabus. Necessary absences must be reported to the appropriate Department Chair in advance whenever possible. Absences of more than two class meetings during a course, for purposes not directly connected to college duties, must be approved in advance by the Associate Dean of Academic Affairs. Faculty members are expected to cover required content through scheduled make-up or other means. Failure to meet scheduled classes and chronic tardiness are serious lapses of professional behavior.

Faculty members are expected to cover core content specified by discipline, give feedback on exams and assignments in a timely and meaningful manner, employ interactive learning methods, and use teaching materials that are current and of high quality. Additionally, faculty members are expected to follow the grading guidelines, of their department and/or discipline, use challenging, high quality assignments and exams, and grade in a fair and impartial manner. Faculty members are encouraged to collect mid-term feedback on their teaching performance, and be approachable and reasonable in dealing with students. Faculty must make allowance for student absenteeism, although some requirement(s) in regards to attendance (e.g. attendance on the first day of class) may be mandated.

Class locations, schedules, and delivery modes may have to be altered in emergency situations, such as fires, earthquakes and mud slides. Faculty members may also be

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called upon to modify classroom layout and seating arrangements or to make special arrangements as required to accommodate students with disabilities as directed by the University Disability Services Office.

#### G. Course Syllabi

Faculty members are required to prepare a syllabus for each course. All syllabi should include an outline of topics to be covered, grading scale, learning goals, reading assignments, attendance requirements, methods of evaluation, lines of communication, dates of major examinations and assignments, and other course requirements. Faculty members must provide the administration an electronic draft or final copy of their syllabus **60 days prior** to their first class, and they must provide a final copy prior to the first day of class. The current syllabi template is located on the Academic Affairs Community website under the Academic Support tab.

#### H. Class Rosters

Faculty members will receive a tentative class roster soon after registration day. Following the add drop period, a second class roster will be sent out. Instructions accompanying this roster must be followed promptly and explicitly. Discrepancies between the second roster and the students actually in attendance must be reconciled immediately so that the final grade roster will be accurate.

#### I. Testing, Grading, and Student Non-academic Grievance Procedure

Academic evaluation is dedicated to high academic standards and the faculty will not tolerate "grade inflation"; grades must be assigned accurately and fairly. Careful records of student progress should be kept on file. Students deserve a clear understanding of their status and progress. This requires a systematic evaluation program on the part of the instructor. Evaluation should begin early in the trimester and continue at reasonable intervals. Students doing unsatisfactory work should be advised of their academic status no later than the midpoint of classes.

##### 1. Grade Disputes

The process to resolve grade disputes varies by program. Students should contact the faculty first and, if the issue is not resolved, the appropriate Program Office. Program Office will notify the faculty member of the next steps in the process.

##### 2. Student Cheating Policies and Procedures

Cheating by students is not tolerated in the Graziadio School. It is the responsibility of the faculty member to report all incidents of cheating to the appropriate Associate Dean or Program Director. In some programs a code of academic conduct will dictate the procedure(s). The Associate Dean may appoint an Advisory Committee to

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investigate and recommend the appropriate action. The membership and process of the Advisory Committee varies by program. The student has the right to appeal any decision to the Dean of the Graziadio School. For further information, the faculty member and/or the student should contact the appropriate Associate Dean.

### 3. Non-academic Student Grievance Procedure

Informal and formal resolution procedures exist. Student Grievance Procedures have been developed for each of the programs. The procedure is designed to allow students to address complaints in a fair, consistent and objective manner.

The Associate Dean of Academic Affairs acts as the Grievance Officer. To initiate a formal complaint, the student must submit the complaint in writing before review or action may take place. If the Associate Dean desires, an Advisory Committee may be appointed to assist in the investigation and recommend action. The decision of the Grievance Officer may be appealed to the Dean of the Graziadio School.

Students may obtain the complete procedure at from the Associate Dean or Program Office.

### J. Independent Study

Instructors directing students' independent studies must prepare a written contract specifying the requirements, deadlines, and basis for grading. Copies of this contract, signed by both instructor and student, should be in the possession of both parties. Another copy should be on file in the office of Academic Affairs, signed by the Department Chair.

### K. Final Examinations and Grades

Final student grades must be entered into the grade report system by the first Wednesday following the end of the trimester. For graduating students, faculty are encouraged to notify the appropriate Program Office as soon as possible about any student who may not satisfy course requirements and/or achieve the minimum required course grade and thus be ineligible for graduation. Instructions regarding grade reporting are disseminated from the office of the Associate Dean of Academic Affairs.

Proposed grade changes (other than computation errors) must be submitted to the appropriate Program Committee and Associate Dean in writing, with justification for the change.

### L. Course Evaluations

In each class, students are given an opportunity to evaluate the class and the faculty. All faculty members are expected to participate in the evaluation program. A few weeks prior

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to the end of each trimester, evaluation forms will be distributed to each faculty member. At a class session during the last weeks of class, the faculty member should distribute the evaluation forms to the class. So that the students will not feel intimidated, the faculty member should not be in the classroom when the forms are being filled out. The faculty member should leave the envelope with the course title and the instructor's name written on it and instruct a student to pick up the evaluation forms and deliver them to the appropriate University office.

Faculty members should assure students that the evaluation forms will not be reviewed until after grades are submitted. After the deadline for submitting grades is past, evaluation forms will be distributed to the Departmental Chairs and to the respective faculty members. Course evaluation data should be used for development purposes, and Chairs should use discretion concerning private discussions of the results of the forms with individual members of their departments. Under ordinary circumstances only the Department Chair, the Dean, the Associate Dean of Academic Affairs and the faculty member will have access to the evaluation forms. The Department Chairs, in coordination with the Associate Dean of Academic Affairs, will keep program Associate Deans apprised of course quality within their respective programs. In cases in which a faculty member is being considered for promotion, tenure or five-year review, the information from these forms will be shared with the faculty members who are preparing a peer review, Faculty Personnel Committee, appropriate administrators, and the Board of Regents.

#### M. Faculty Availability

Faculty members who teach in the graduate campuses are expected to give written notice to students of how, when, and where to reach them by telephone, and/or e-mail for appointments, proposals, projects, independent studies contracts, and similar student related needs. Faculty members who teach on the Malibu campus are expected to hold weekly office hours while classes are in session.

Students should be informed as to when calls and e-mails will be returned. Normally, the maximum time to respond to a telephone call or e-mail should be 24 hours unless the faculty member is out of town. When the faculty member is temporarily unreachable, students should be redirected so their inquiries can be responded to by others. Additionally, each faculty member is expected to keep the Department Chair and the office of the Associate Dean of Academic Affairs informed, in writing, how he or she may be contacted at all times.

#### N. Student Records

Federal and state legislation defines the rights of students with respect to their student records, both in terms of privacy and grievance procedures. Faculty members will be held legally accountable for familiarity with and proper implementation of the following guidelines.

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The Family Educational Rights and Privacy Act of 1974, better known as the Buckley Amendment or FERPA, and California Education Code 67 100ff provide, generally, that (1) students shall have the right of access to their educational records, and (2) educational institutions shall not release educational records without consent of the student, subject to exceptions provided by law.

Faculty members' responsibilities under the law and the University Student Records Policy are two-fold. First, the faculty must respect the privacy rights of students by not disclosing personally identifiable information about a student without the student's written consent. For example, if grades are posted, they must be disclosed in a manner that makes the grades known only to the student receiving the grade.

Specifically, faculty members should not post grades using student names or social security numbers without specific written authorization from students to do so. Another application of the policy would prohibit use of data from student records in letters of reference without the student's written request for the letter of reference.

Second, faculty must honor a student's right of access to University files regarding that student. It is not necessary to grant immediate access upon demand by a student, but such access must be granted within fifteen days of the request. In the event of a request, the faculty member should immediately contact the Registrar's Office for assistance. Also, there are several specific exceptions to these rights provided in the law (e.g., specific records for which the student has legally waived his or her right of access or private files of the faculty member not available for use by other University personnel).

The law and policy is complex and this notice is not intended to be fully explanatory of student rights under FERPA or California law. These rights and policies are referenced in the "Legal Notices" section of the school catalog and are explained in detail in the official Pepperdine University Student Records Policy. If explanation or assistance is needed after consulting with the Registrar's Office, faculty members should contact the University's general counsel.

#### O. Graduation

All faculty members as part of their professional responsibility are expected to attend at least two graduation exercises each year. The marshal of the faculty leads the academic processions, and the office of Academic Affairs will provide detailed instructions to all participants at least one week before each commencement exercise.

#### P. Academic Advisement

Faculty members are expected to advise students on academic matters in a general way and as the students' needs relate to the faculty member's own discipline. Students may

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also be directed to the appropriate program office or to the Department Chair for academic advisement.

#### Q. Committee Responsibilities

A faculty member is expected to serve the Graziadio School, either by service on one committee, or through service to a program, and to perform other services to the school such as attending departmental, program, and general faculty meetings, along with graduations, and retreats, or similar types of meetings related to the activities of the Graziadio School of Business and Management.

The process to appoint committee chairs is as follows: (1). The Associate Dean of Academic Affairs, with input from the other Associate Deans, prepares a list of recommended chairs for the Faculty Council, (2). The Faculty Council discusses, modifies, and approves the list, (3). The Associate Dean of Academic Affairs asks the faculty members to serve.

The process to appoint committee members is as follows: (1). The Associate Dean of Academic Affairs asks faculty members for their preferred committee assignments and committee chairs for their preferred committee members, (2). The Associate Dean provides the Department Chairs committee with this information and this committee develops a recommended list of committee membership, (3). The Associate Dean provides the list to the Faculty Council for review and distributes the list to the faculty, (4). Faculty members request changes to the Associate Dean and, if possible, changes are made in collaboration with the appropriate Department Chair and committee chair.

In addition to the time invested in active participation in committee deliberations, each individual is expected to spend time in preparation for the committee meetings, to participate in communicating results of deliberations, and to work on sub committees or special projects as assigned by the committee chair. To make an active contribution to the committee, a member must be prepared to represent his or her faculty on that committee.

These requirements suggest that a certain amount of time must be spent in preparation for the meeting in contact and discussion with other members of the faculty. Should any committee member be unable to attend a committee meeting, he or she should notify the committee chair, or if unable to reach the chair, another committee member prior to the meeting.

Individuals who are assigned to serve a program or the school more generally, in lieu of committee service, have their service assignments coordinated with programs directors and deans.

The current official standing committees are attached hereto in [Appendix A](#).

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R. Faculty Organizations

1. Faculty Council

The Faculty Council is one of two elected bodies of the Graziadio faculty that represents the faculty to the School's and University's administration. The purposes of the Faculty Council are to assist the development of the Graziadio School; to be the primary body representing faculty governance; to formulate, evaluate, and recommend policies to the Dean and President within the framework of the Graziadio School and the Pepperdine University missions; to facilitate communication among the faculty, the Graziadio School administration, and the Pepperdine University administration; and to serve as the forum for expressing faculty opinion on issues of importance. Said issues shall include, but are not limited to, the creation and promotion of ideas, recommendations, policies, and programs designed to be beneficial to students, faculty, the Graziadio School, and Pepperdine University.

The Faculty Council participates in such matters as: (a) Appointment of committee chairs and members, (b) Review of the budget, (c) Approval of the strategic plan, (d) Participation on Search Committees for Dean appointments, (e) Recommendation on faculty reassigned time, (f) Representation of the faculty before the University's and School's administration, and (g) other issues deemed important as reflected by a vote of the majority of the full-time faculty. The full text of the Faculty Council charter is located in [Appendix I](#).

2. Personnel Committee

The Personnel Committee is the other elected body of the Graziadio faculty. It serves as the promotion and tenure committee for the School. Responsibilities include (a) Recommendation of initial rank for new faculty members, (b) Review and recommendation to the Dean on promotion and tenure applications, (c) Supervision and recommendation to the Dean on five-year review of tenured faculty, and (d) Recommendation on professor emeritus applications. The full text of the Personnel Committee charter is located in [Appendix J](#).

S. Jury Duty

Although the University encourages all faculty members to fulfill their civic duties, members of the faculty are expected to make every reasonable effort to perform jury duty at times when it will not interfere with their teaching responsibilities. Faculty members called to serve will be excused to serve on jury duty for up to five (5) work days and shall be paid at their regular base salary. If assigned to a case, faculty members may be paid up to an additional five (5) work days.

For a faculty member serving on a jury in which the trial extends beyond the maximum ten (10) paid work days, his or her continued absence will be excused without pay until

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the trial is completed. A faculty member called for jury duty must notify his or her Department Chair so that appropriate plans can be made in the event of assignment to a protracted case.

T. Confidentiality

No faculty member shall disclose or discuss with any non-employee or unauthorized person any confidential matter regarding the University or any of its activities or any information obtained by virtue of employment with the University, the disclosure of which might in any way be detrimental to the interests of the University.

U. Use of Name

Faculty, either individually or collectively, shall not, without the written consent of the University administration, use any name or logo of the University in connection with any activity of any kind outside of the regular work of the University.

V. Use of University Letterhead

Policies governing the use of University letterhead by students and faculty members include the following: under no circumstances may a student be permitted to use letterhead including Pepperdine University's name for the purpose of supporting the student's research project efforts. Full time faculty members who are currently employed by the Graziadio School of Business and Management may, as part of their professional role, often need to write letters on behalf of students to support research efforts. Such letters may be written on University or Graziadio letterhead as long as they are signed by the professor and copies of the letter are forwarded to the appropriate program office for placement in the student's file. Should a part time faculty member desire to give his or her name in support of a student in this manner, the approval of the Associate Dean of Academic Affairs must be acquired.

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## V. FACULTY SUPPORT AND BENEFITS

### A. Orientation

A comprehensive process has been developed and implemented to orient new faculty to the Graziadio School's programs, facilities, values and culture. New faculty members are asked to attend multiple orientations. University-sponsored: New Faculty Orientation in August, which is sponsored by the Provost. This is a one-day event and includes all new full-time faculty members (both tenure-track and non-tenure track). The Human Resources Department sponsors two half-day seminars, which presents information on benefits and University policies and procedures. GSBM-Sponsored: All new GSBM Faculty attend an 8 hour Saturday seminar which focuses on teaching methods, the values at GSBM, course-load and other pertinent teaching topics. This seminar is conducted by the Director of Supporting Faculty Development. Academic Affairs implements a list of other orientation activities, which include assigning office space, ordering computer equipment, introducing support staff, and explaining various administrative procedures. The Campus Directors work in collaboration with the Supervisor – Faculty Support to provide logistic support to new faculty members assigned to faculty office space in Malibu, Encino, Irvine, Westlake and West Los Angeles. New faculty members are further acculturated at the annual Graziadio School Faculty Conference and the annual Pepperdine University Faculty Conference. All new faculty members are expected to participate in at least one communications workshop along with students in a *Human Behavior* class so that they can appreciate what students experience at the beginning of each program. This provides new faculty with a deeper understanding of the history and culture of the Graziadio School.

Questions regarding the GSBM New Faculty Orientation should be directed to the Supervisor – Faculty Support or the Academic Affairs Event Specialist. For contact information and other faculty support resources provided by Academic Affairs please visit the Academic Affairs Community Website at <http://community.pepperdine.edu/graziadio/academicaffairs/>.

### B. *Graziadio Business Report* (<http://gbr.pepperdine.edu>)

The *Graziadio Business Report* (GBR) is a double-blind, peer-reviewed online journal published by the Graziadio School. The GBR delivers relevant business information and analysis for business, government, and non-profit managers. Since 1998, Graziadio faculty authors have translated the latest academic research and analysis into practical applications for businesses. Articles in the GBR have had requests for reprints, and GBR authors have been contacted for speeches, interviews, and consulting opportunities. Currently, the GBR website receives more than 2500 visits per day. Faculty receive publishing credit for accepted submissions to the GBR. In 2007 the GBR began accepting external submissions and was accepted for inclusion in the 11<sup>th</sup> Edition of *Cabell's Directory of Publishing Opportunities in Management*. In 2008 the GBR launched a blog

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to give faculty an additional venue to share their knowledge and opinions. The GBR offices are located on the fourth floor of the Pepperdine West Los Angeles campus. A committee of Graziadio faculty serves on an advisory board with a faculty member serving as editor-in-chief. An editor and an associate editor handle the editorial content, the review process, and the day-to-day operations of the GBR. The GBR editors also offer assistance to faculty in finding external editorial help for additional publishing opportunities.

### C. e-Learning and Instructional Technology

e-Learning practices and technologies are not only an integral part of our school's overall strategy, but they are increasingly expected by our students who use similar technologies in their professional and personal lives. All Graziadio e-Learning initiatives aim to enhance students' learning experiences, while also increasing convenience and flexibility for faculty and students alike. Such technologies include electronic document delivery and exchange, online quiz and surveys, grade book management, online discussions, shared whiteboards and applications for online meetings, blogs, wikis, clickers for in-class polling, large screen and desktop videoconferencing and session recording, and more. The e-Learning Director and senior e-Learning Support Specialist provide consultation, training, and support for faculty and are located on the fourth floor.

### D. Business Services

#### 1. Printing Services

University Printing Services provides for the printing and copying needs of the University. Services range from simple copying to multi-page, multi-color brochures, reports, handbooks, or directories, also high quality digital color copies and prints. Photocopy jobs for more than 100 copies should be sent to Printing Services. Printing Services also provides a wide range of bindery services including collating, stapling, binding, folding, and inserting. All materials to be printed must be submitted along with a completed C2C requisition or a valid copy code. Jobs that require designing, typesetting, graphic artwork may also be submitted in the same way. All who use this service are asked to make printing requests as far in advance as is practical. Except for simple copying, one or two weeks is usually required for completed work.

#### 2. Mail Services

Mail Services is located on the Facilities Management & Planning Pad (FM&P Pad) and provides services for internal communication on the Malibu campus, cross campus mail to West LA, Irvine, Encino and Westlake Graduate Campuses and processing of outgoing U.S. Mail to the U.S. Postal Service for external delivery. Mail Service provides mailing services for departmental and personal items, stamp purchases, handling of small packages, and overnight services, although Mail Services is not an official U.S. Post Office. Mail Services is governed by U.S. postal

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regulations, however, since it must observe federal requirements in order to process and handle the mail. Mail service is also available at the West LA Graduate Campus for the processing of University business mail; no retail services are available at this location. Stamped personal mail will be picked up from offices and sent to the U.S. Postal Service.

Mail Services at Malibu operates under the following policies and procedures:

- Hours of operation are 8:00 a.m. to 5:00 p.m., Monday through Friday, with window service from 9:00 a.m. to 4:30 p.m.
- All personal first class mail must be properly stamped and sealed.
- Only official University mail which is to be charged to a departmental account may be submitted to be metered. The proper departmental name and mail code should appear on the upper left-hand corner of the item.
- Mail Services will accept personal checks. Mail Services does not accept credit or debit cards.
- Campus mail for Malibu and/or the Graduate Campuses requires no postage; however, campus mail should be separated from outgoing first class mail.
- A manual of procedures is available from Mail Services. This manual gives additional information regarding such matter as foreign mail, parcel post, bulk mailings, and other postal activities.
- Central Receiving located on the Malibu campus is part of Mail Services and is responsible for receiving all ground and freight shipments for the Malibu campus.
- Central Receiving processes items received on purchase orders for Malibu and enters the information into the PeopleSoft system for receipt.
- Central Receiving processes UPS ground shipments out of the University for departments and personal items. Personal items must be paid for by cash or credit card. Central Receiving is the central point on the Malibu campus for UPS pick up of ground shipments.
- Freight shipments may be made through Central Receiving but departments are responsible to make all shipping arrangements with the trucking companies.

For more information please visit:

<http://community.pepperdine.edu/businessservices/mail/>

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3. Bookstore

The University Bookstore offers a variety of trade and reference books, school and office supplies, and general merchandise. Bookstores are also found at the Pepperdine West LA and Irvine Graduate Centers.

Special supply orders needed for classes should be discussed with the Bookstore manager.

The Bookstore will attempt to stock all items required or recommended by faculty, including, upon request, faculty publications. Students can order their books by phone or online at [www.efollett.com](http://www.efollett.com), as well as purchasing them in the bookstore.

E. Technology Support and Services

The Information Technology department provides the following services to Pepperdine University faculty.

For current information visit <http://community.pepperdine.edu/it/faculty/>

1. Network, Internet and E-mail Access

All Pepperdine faculty, staff members and students are given a network ID, network password and a Pepperdine e-mail address. Computers connected to the University's network can access e-mail, the Internet, various servers and applications such as the PeopleSoft Faculty Center, the University WaveNet portal, Blackboard, and the digital resources of the University Library. Pepperdine University has wireless networking capabilities in all non-residential buildings and in most educational facilities. Visit the IT Web site for a complete listing of areas with wireless access.

To allow for the proper use and management of all university computing and network resources, all computers connecting to Pepperdine's network are subject to an Acceptable Usage Policy. The full text of this policy is available at <http://community.pepperdine.edu/it/security/policies/usagepolicy.htm>

2. IT Training

Information Technology training is available online; through self-help courses; instructor-led classes; or requesting one-on-one training. In order to view the available online and instructor-led offerings, please visit <http://community.pepperdine.edu/it/training/>

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For support using Blackboard or WaveNet, contact the Graziadio School's Technical Support Manager, Barron Williams ([Barron.Williams@pepperdine.edu](mailto:Barron.Williams@pepperdine.edu)).

### 3. Computing and Instructional Facilities

Graduate campuses have general computing labs for students, faculty, and staff. The majority of graduate classrooms feature advanced multimedia capabilities including digital projection, audio, VCRs, and DVD players. Classrooms and public spaces have wireless network access.

### 4. Computer Store

The Computer Store is a retail outlet for hardware and software products servicing Pepperdine faculty, staff, and students, providing educational discounts and advice on purchasing technology products. More information about products and services can be found at <http://community.pepperdine.edu/computerstore/> or by calling (310) 506-4811.

### 5. Telephone Services

- a. Your division office will arrange for a telephone and service for each faculty office. The University voice mail system is integrated with the e-mail system to allow voice mail to be heard through your e-mail inbox. For information regarding cellular coverage on the Malibu campus, please visit the IT Web site at <http://community.pepperdine.edu/it/services/phone/cellular/coverage.htm>

b.

- c. The University telephone system is intended for business use by University faculty and staff. Employees should make no more than a limited number of personal calls to numbers off campus. Long distance access codes (PBNs) for calls to be charged to a department are available through the Information Technology Help Desk (x4357). Charges incurred are billed directly to the department account number associated with the PBN. It is the responsibility of each employee to insure that one's PBN is kept strictly confidential.

- d. A faculty/staff online telephone directory for the University is available via the University network at <http://services.pepperdine.edu/directory/>. Employees have the option of listing residential addresses and telephone numbers in the directory in addition to University telephone extension numbers.

### 6. Photocopy Services

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Photocopiers that also serve as network printers are available in key locations. These machines are designed primarily for self-service. Faculty and staff should use their assigned department copy code to copy or print to these devices. Card Reader-operated machines are located at all Libraries and Graduate Campuses to service students.

A full service copy center is available in the University Printing Services Department (x4196), on the Malibu campus, offering black and white and full color photocopying, printing, binding, and lamination services.

Individuals using the University's photocopying equipment are expected to abide by applicable copyright law and the official University policy entitled "Guidelines for Photocopying for Classroom and Research Use" which is available from the Dean's Office. As a general guide, examples of legitimate copying of copyrighted materials for educational use are:

- Single copies of a chapter, article, essay, chart, drawing; a section from a longer work to be used in research or in preparation to teach a class; or multiple copies to be distributed to a class, provided that these do not exceed one copy per student in the class
- Multiple copies are subject to a number of criteria (brevity, spontaneity, and cumulative effect). Repeated photocopying of the same item to be used by the same teacher from term to term is prohibited by copyright law. Copyrighted works intended to be consumable such as workbooks, exercises, standardized tests, or test answer sheets are specifically prohibited from being copied.

#### 7. Information Technology Questions and Assistance

Additional information is available on the IT Web site at <http://community.pepperdine.edu/it/>. Personalized assistance at each campus is available for faculty either by calling the IT Help Desk at (310) 506-HELP (4357) or contacting the computer lab manager. For additional hardware support, contact the Graziadio School's Technical Support Manager, Barron Williams ([barron.williams@pepperdine.edu](mailto:barron.williams@pepperdine.edu)) or 310-568-5750.

#### F. Office of Graduate Campuses

The Graziadio School offers courses at the Malibu campus and at the other graduate campuses in the greater Los Angeles area. One of these campuses, the West Los Angeles Graduate Campus, houses most of the School's administrative offices and the University's second largest library. The other graduate campuses are located in Irvine in Orange County, Encino, and Westlake Village in Ventura County. Bookstores can be found at the WLA and Irvine campuses. Graduate campus resources include classrooms, full-time faculty offices, copiers and other equipment, Admissions and program staff

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offices, Academic Computing labs and staff, library staff and reference material, and online access to the resources in the Pepperdine University libraries. The Campus Director and other campus personnel are available to provide assistance and information to the faculty member. Campus Director Contact information can be found at <http://community.pepperdine.edu/graziadio/academicaffairs/directories/center-directors.htm>

Classes for the fully employed MBA are held at the four graduate campuses. Classes for the BSM are held at the WLA, Encino and Irvine graduate campuses. In addition, Executive Programs classes are occasionally held in the campuses. Full-time MBA classes are held at the Graziadio School on the Malibu campus.

#### G. Library

Pepperdine Libraries subscribe to a growing number of electronic resources. Together, librarians and faculty continuously review and update electronic and print resources. Databases provided with full-text journal articles and news items include Business Source Premier, Factiva, Lexis Nexis Academic, and Emerald Management Library. Company and industry information can be found in Moody's/Mergent Online, Mintel Reports, Investext Plus, S&P Market Insight, and Value Line. International economic information can be found in Business Source Premier, Europa World Plus, Global Market Information Database, International Financial Statistics, WRDS, Compustat, CRSP, KLD and STAT-USA. Please use your faculty ID and password to access the databases provided by the University Libraries. The online catalog of holdings in Pepperdine Libraries, <http://library.pepperdine.edu/mylibrary/>, may be searched through the library web site. The catalog includes access to electronic books and journals as well as holdings for books and serial publications. Please visit the library at <http://library.pepperdine.edu/> for more information.

#### H. Security and Emergency Services

To report an emergency on the Malibu campus, please call the Department of Public Safety at (310) 506-4441. At all other California campuses please call 911 then call the Department of Public Safety at (310) 506-4442.

Pepperdine's Toll Free Emergency Hotline: (888) 286-5659.

The recorded message is updated regularly during emergency situations.

Information about current road conditions is also available on the Road Condition Hotline at (310) 506-ROAD (7623).

If you have any questions, please call the Office of Public Relations and News at (310) 506-4138. Please visit <http://www.pepperdine.edu/publicsafety/> for more information.

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### I. Parking

The University maintains several parking lots on the Malibu campus for the convenience of faculty, students, and visitors. Faculty members should register their cars with the Public Safety Office and receive a parking sticker that should be permanently attached to their car. This permit entitles faculty members to park in designated parking lots on campus. Faculty members are expected to observe all campus traffic regulations.

Please visit <http://www.pepperdine.edu/publicsafety/parking> for more information

Parking for faculty at the Graduate Campuses is provided in convenient locations. Faculty may have their parking stubs validated at the Graduate Campuses. Faculty who are at West Los Angeles Graduate Campus on a frequent basis may request a card key to be issued in their name. Requests should be directed to the Office of the Associate Dean of Academic Affairs. For more information please visit <http://community.pepperdine.edu/graziadio/academicaffairs/content/campusparking.pdf>

### J. Vans and Shuttles

The University maintains several Vans and Shuttles that may be scheduled for official business, field trips, excursions by student groups, or other travel by classes or University organizations. A valid California Class B license with Passenger endorsement and a valid medical certificate is required for the driver. Vans and Shuttles may be reserved through the office of Transit Service at extension 4802. Academic divisions or student organizations are charged a per mile fee and a driver fee for use of Vans and Shuttles. Vans or Shuttles should be reserved at least 10 working days in advance to insure availability.

### K. Faculty Benefits

Within the context of the University's mission statement, it is the mission of the Center for Human Resources at Pepperdine to participate in meeting the University's human resource needs through planning and implementing personnel programs serving the University's faculty, staff and students. Please visit <http://community.pepperdine.edu/hr/benefits/fulltime/> for all employee benefits, including:

- Insurance
- Tuition programs
- Retirement
- Time off
- Flexible spending accounts
- Health and dependent care reimbursement
- Health advocate
- Pretax medical/dental/vision payroll deductions.

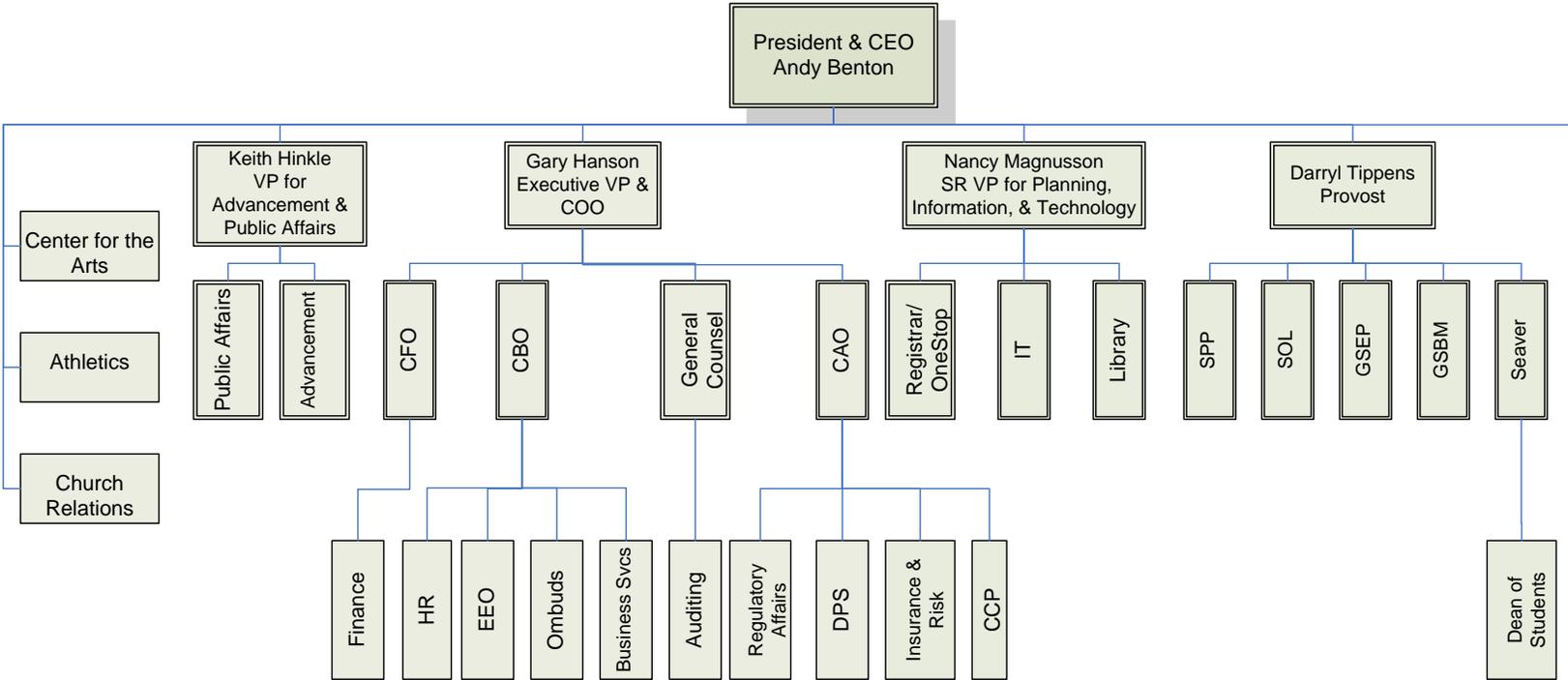
# APPENDIX – A

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<b>THE GRAZIADIO SCHOOL FACULTY COMMITTEES</b>
<b>PROGRAM COMMITTEES</b>
<b>BSM</b>
<b>EMBA</b>
<b>FEMBA ADMINISTRATION</b>
<b>FEMBA PROGRAM</b>
<b>FULL-TIME PROGRAMS</b>
<b>MSOD</b>
<b>PKE</b>
<b>SPECIALIZED COMMITTEES</b>
<b>FACULTY COUNCIL</b>
<b>GRAZIADIO BUSINESS REPORT</b>
<b>LEARNING ASSURANCE</b>
<b>PERSONNEL COMMITTEE</b>
<b>UNIVERSITY COMMITTEES</b>
<b>UNIVERSITY ACADEMIC COUNCIL</b>
<b>UNIVERSITY BENEFITS</b>
<b>UNIVERSITY DIVERSITY</b>
<b>UNIVERSITY GRIEVANCE</b>
<b>UNIVERSITY FACULTY COUNCIL</b>
<b>UNIVERSITY LIBRARY COMMITTEE</b>
<b>INSTITUTIONAL RESEARCH BOARD</b>
<b>UNIVERSITY TENURE</b>

# APPENDIX – B

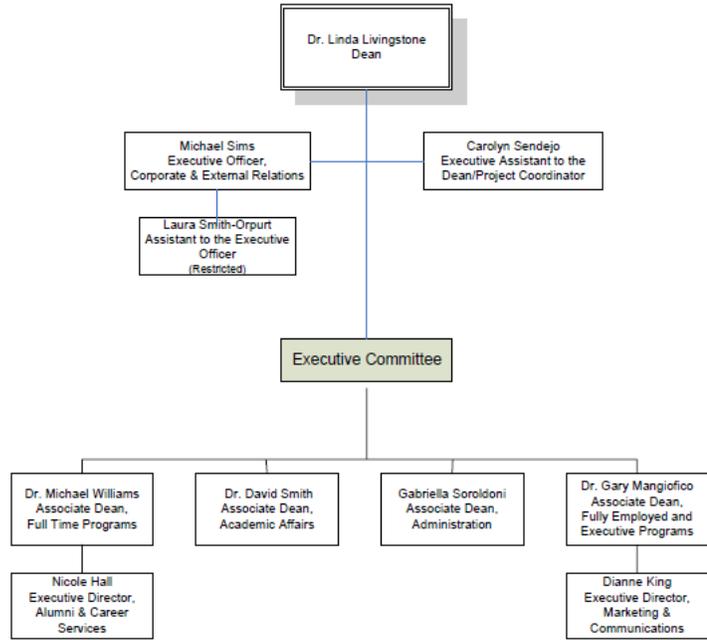
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# APPENDIX - C

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Pepperdine University  
 Graziadio School of Business and Management



Effective: August, 2010

# APPENDIX - D

PEPPERDINE UNIVERSITY  
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## **Faculty Tenure Process**

Achieving tenure can be one of the most important goals of a faculty member. This document has been prepared in order to clarify the process of achieving tenure for the Graziadio School faculty and to allow candidates the opportunity to seek guidance and support in this important matter.

### **Overview**

Candidates must consider themselves as both initiator and respondent throughout the tenure process, adopting whichever role helps the process move forward in a timely manner. The Department Chair has the primary responsibility for faculty development including mentoring and guiding faculty in the tenure process.

The tenure process begins on the first day of the first contract year for a candidate in a tenure track position. It includes developmental reviews with the Department Chair; formal reviews that include feedback from other faculty as well as the Department Chair; and performance feedback from others, particularly tenured faculty in the candidate's discipline, regarding progress. Both the Chair and candidate have a mutual obligation to ensure this process is followed. Neither should be a passive observer in the process. It is imperative that each can comfortably initiate or schedule any of the activities. It is the obligation of the candidate to discuss progress and to share ideas on teaching, scholarly activity, university service, collegiality, Christian values, consulting, and outside services with faculty members.

### **Timeline**

#### **Academic Year One**

##### **Fall Trimester**

Department Chair and candidate meet to review and discuss expectations or requirements, written materials, the Graziadio School format, Tenure Process, Peer Review forms, etc.

##### **Spring Trimester**

Candidate submits data for Annual Review and meets with Chair to review progress and set goals for the next academic year as to teaching, service, scholarly activity, collegiality, Christian values and outside service.

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**Faculty Tenure Process**

**Academic Year Two**

**Spring Trimester**

Candidate submits data for Annual Review and meets with Chair to review progress and set goals for the next academic year as to teaching, service, scholarly activity, collegiality, Christian values and outside service.

Candidate begins to develop a package for Third Year Review in the Graziadio School format for review by Department Chair, department faculty and Associate Dean of Academic Affairs.

**Academic Year Three**

**September**

Associate Dean of Academic Affairs sends announcement to tenured Graziadio School faculty inviting comments and concerns regarding the Third Year Review of the candidate.

**Fall Trimester**

Candidate submits the Third Year Review packet no later than November 1. Department Chair selects senior faculty for department review and meeting as to candidate's progress. Guidance provided as to teaching performance, service, scholarly activity, collegiality, Christian values, consulting and outside service.

Department Chair notifies Associate Dean of Academic Affairs as to progress of candidate.

**Spring Trimester**

Senior faculty reviews are due to the Department Chair by February 1. Candidate submits data for Annual Review and meets with Chair to review progress and set goals for the next academic year as to teaching, service, scholarly activity, collegiality, Christian values and outside service.

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**Faculty Tenure Process**

Department Chair and Associate Dean of Academic Affairs meet with the candidate by the end of the spring semester to review the Graziadio School feedback, identify areas of needed development, and discuss expectation of successful tenure application. Candidate may be advised that contract will be renewed for one additional year only.

**Academic Year Four**

**Spring Trimester**

Candidate submits data for Annual Review and meets with Chair to review progress and set goals for the next academic year as to teaching, service, scholarly activity, collegiality, Christian values and outside service.

**Academic Year Five**

**Spring Trimester**

Candidate submits data for Annual Review and meets with Chair to review progress and set goals for the next academic year as to teaching, service, scholarly activity, collegiality, Christian values and outside service.

**Summer Trimester**

Candidate gives written notice to Associate Dean of Academic Affairs, Department Chair and Personnel Committee of intent to apply for tenure. Associate Dean of Academic Affairs sends acknowledgment. Candidate completes development of final Tenure Application Packet. Candidates are encouraged to seek help from tenured faculty in the development of materials. Should candidate fail to send written notice to Associate Dean of Academic Affairs and Department Chair of intent to apply for tenure, Associate Dean of Academic Affairs gives candidate notice of such failure to apply.

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**Faculty Tenure Process**

**Academic Year Six**

**September**

Candidate obtains commitment from five (three within department, preferably two from the candidate's discipline, and two outside) or more tenured faculty to act as Peer Reviewers and submits names to Department Chair. (See Peer Reviewer under Definitions)

Associate Dean of Academic Affairs notifies the faculty that the candidate is applying for tenure and invites written recommendations and comments to be sent to the Associate Dean of Academic Affairs to be assembled with the Tenure Application Packet.

The following dates are **approximate** and will be designated at the beginning of the academic year after the University dates are published.

**October**

Candidate submits Tenure Application Packet, including evidence of teaching ability, scholarly activity, service performed for the School, University and community, collegiality, Christian values, consulting and outside activities, and any other information the candidate wishes to have considered in the tenure process, to the Associate Dean of Academic Affairs. All Peer Review Forms, Department Chair Review Form, and letters regarding the candidate are sent directly from the authors to the office of the Associate Dean of Academic Affairs.

**November**

Associate Dean of Academic Affairs delivers Tenure Application Packet to the Personnel Committee. Personnel Committee convenes during this month, reviews package and the Committee Chair delivers the Tenure Application Packet along with the Committee's recommendation to the Department Chair, Associate Dean of Academic Affairs, and Dean.

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**Faculty Tenure Process**

**December**

Dean submits the package, his or her recommendation, and the recommendation of the Personnel Committee to the University Administration.

**March**

Dean informs candidate, Associate Dean of Academic Affairs and Department Chair of the disposition regarding application for tenure. If tenure is denied, the candidate is informed that the seventh year will be the final year as provided under the University Policy. The date is contingent on timing of the University Administration's recommendation and the Board of Regents' approval.

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## **Faculty Tenure Process**

### **General Information**

Tenure forms, the Graziadio School format and Peer Review Forms can be obtained from the Associate Dean of Academic Affairs. The Department Chair assists in the selection of peer evaluators. Minimally, five evaluators, three from within the department (two preferably from the candidate's discipline) and two outside, are required. No more than one reviewer may be a program's Associate Dean. The Department Chair completes the Department Chair Review Form as formal evaluation of the candidate. A candidate may choose to apply for tenure early if stipulated in the candidate's original contract. At that time, go to 'Academic Year Six' of the process.

### **The Role of Candidate, Administration and Faculty in the Tenure Process**

#### **Candidate**

The person being evaluated has responsibility to work with the Department Chair to initiate feedback sessions and other activities, and to include tenured faculty and peer reviewers within the appropriate times as indicated in the timeline. The Tenure Application Packet is to be developed by the candidate and must follow the Graziadio School format.

#### **Associate Dean of Academic Affairs**

This person becomes involved in the review, by adding his or her perspectives. During the third year formal review process, he or she meets with the Department Chair and the candidate to discuss the candidate's progress and determine whether the fourth will be the final contract year. At the sixth year formal tenure review, he or she will be part of the formal approval or denial process as outlined in the University Tenure Policy statement.

#### **Department Chair**

This person provides the initial feedback during the first year and succeeding years to the candidate, gathering appropriate information from all sources. The Department Chair offers constructive feedback as to teaching, service, scholarly activity, collegiality, Christian values, consulting, outside activities. The Chair shares information regarding the Graziadio School policy and process for tenure.

#### **The Graziadio School Faculty**

All faculty members are invited at any time to send comments and concerns to the Department Chair, and/or the candidate. Coaching and feedback to the candidate are encouraged. It is the obligation of faculty members to discuss progress and to share ideas on teaching, scholarly activity, University service, collegiality, Christian values, consulting, and outside services. Interested faculty may deliver opinions about the

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candidate's progress to the candidate, Department Chair, and the Associate Dean of Academic Affairs.

**Senior Faculty**

Tenured faculty, especially those who are senior in the department and discipline of the candidate being considered for tenure, are responsible for providing feedback to the faculty member and need to respond with candor when approached by the candidate. They are also responsible for participating in the third and sixth year reviews, and other constructive meetings and activities throughout the process.

**Peer Reviewer**

This person evaluates the candidate at his/her request or may refuse for any reason. The Graziadio School Peer Review forms are used to guide remarks and aid in evaluation. All comments and/or concerns to the office of the Associate Dean of Academic Affairs are appropriate. At the beginning of the third academic year, Peer Review forms are submitted to the Department Chair. During year six, when the formal process is conducted, all peer reviews are sent directly from the authors to the office of the Associate Dean of Academic Affairs and a copy is sent to the appropriate Department Chair. Note: Personnel Committee members may not be Peer Reviewers.

**Personnel Committee**

The Personnel Committee reviews the candidate's packet, the Peer Reviews, the Chair's review, and any other written recommendations and comments submitted by the Graziadio faculty. The committee provides a written recommendation to the dean.

**Program Associate Deans**

If a tenure-track faculty member has primary teaching responsibilities in a specialty program, it is imperative that the program's Associate Dean encourages the candidate to participate more widely in the Graziadio School of Business and Management, especially with colleagues in the same discipline. If possible, events in the program should not be scheduled so as to conflict with the broader Graziadio School responsibilities such as retreats, department meetings and faculty meetings.

# APPENDIX - E

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**COLLEGIALITY**

**Collaboration with Other Faculty for Enhanced Professionalism, Student Learning and Reputation of the Graziadio School**

Demonstrates leadership

Joins in debate and generates ideas

Exchanges information for upgrading the School/programs/courses/syllabi

Contributes to shared decision making

Demonstrates courtesy and respect for people and opinions

Gives credit to others for their accomplishments

Exhibits values and high standards of ethical conduct consistent with the  
University's mission

Takes opportunities to grow personally and professionally

Assists others to grow personally and professionally

Takes opportunities to help students develop as whole people

Represents the Graziadio School well – both in the classroom and in society

Approved by the Faculty, January 1998

# APPENDIX - F

PEPPERDINE UNIVERSITY  
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**Five Year Review Process**

**Overview**

The Five Year Review is required of all tenured faculty members in the Graziadio School. The five year review period begins in the fall after the faculty member achieves tenure. The clock resets in the fall after the faculty member achieves promotion. The reviews continue after each five year period until the faculty member resigns or retires.

The purpose of the Five Year Review is to:

1. Review the achievements of the prior five years;
2. Set goals and benchmarks for the next five years;
3. Plan for personal and/or career changes.

The purpose differs from the Annual Faculty Development Process which reviews accomplishments within a one-year period. The Five Year Review provides the opportunity to set longer term goals and determine the activities and resources necessary to achieve these goals.

**Timeline**

**Academic Year of Review**

**September**

The Associate Dean of Academic Affairs notifies faculty members (with a cc to the Department Chairs) eligible for Five Year Review by September 15.

**January**

The faculty member submits the Review Form ([Appendix G](#)), for the prior five evaluation (calendar) years summarized copies of the Annual Faculty Report (currently Digital Measures), and the supervisor's review from the past five years to the Department Chair by January 30.

**February**

The Department Chair reviews the previous Five Year Review and the current packet, and meets with the faculty member to discuss accomplishments, challenges and future work plans. The Five Year Review Form, Annual Faculty Reports, supervisor's reviews, and Chair's comments are forwarded to the Personnel Committee by March 8.

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**March**

The Personnel Committee reviews the Five Year Review packet to ensure standards and expectations are being consistently applied across disciplines and departments. The Personnel Committee forwards its comments to the Department Chair with a copy to the Dean.

**April**

The Department Chair and, if requested, the Associate Dean of Academic Affairs meets with the faculty member to solidify goals and benchmarks, and discuss resources needed to reach these goals.

Approved by the Faculty, March, 2009

# APPENDIX – G

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**Five Year Review**

<b>Date:</b>	
<b>Name:</b>	<b>Rank:</b>
<b>Department Chair's Name:</b>	<b>Department Name:</b>
<b>Period Covered by Report</b>	
<b>From:</b>	<b>To:</b>

**Reviewing the previous five years**

**1. Summarize your activities – You may want to include information about the following:**

- \* Accomplishments, particularly as they relate to teaching, scholarship, service, and business connections**
- \* Professional Development**

Faculty Member:

Department Chair's Comments:

**2. What has gone especially well during the review period? Of what are you especially proud?**

Faculty Member:

Department Chair's Comments:

**3. What do you wish had gone differently during the review period?**

Faculty Member:

Department Chair's Comments:

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**4. What have been your joys and challenges as a faculty member during the review period?**

Faculty Member:

Department Chair's Comments:

**Planning the next Five Years**

**5. Summarize your work plans –You may want to include information about the following:**

- \* **What goals do you hope to accomplish – especially as they relate to teaching, scholarship, service, and/or business connections?**
- \* **Areas of development?**
- \* **Plans for administrative position, sabbatical, reduced teaching load, retirement**

Faculty Member:

Department Chair's Comments:

**6. What could the Department Chair, Associate Deans, Dean do to help you succeed in your job?**

Faculty Member:

Department Chair's Comments:

**7. Other comments from Faculty Member or Department Chair, if any:**

Faculty Member's Signature: \_\_\_\_\_ Date:

\_\_\_\_\_

Department Chair's Signature: \_\_\_\_\_ Date:

\_\_\_\_\_

# APPENDIX - H

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**Grievance and Mediation Committee**

***Name***

The name of the committee shall be the *Grievance and Mediation Committee* (hereafter GMC). When the GMC accepts a case for hearing, it shall be called a Hearing Committee (hereafter referred to as HC).

***Purpose***

The GMC is established to investigate and/or hear cases concerning alleged unprofessional behavior by tenured, tenure track, contract, or adjunct faculty members. The GMC will consider cases referred to it by the Graziadio School administration or by individual faculty who have attempted to have cases heard by the administration but have been unsuccessful in doing so. The referral shall be in writing and shall specify why the matter needs to be brought to the attention of the GMC. The GMC has the prerogative to decide, by majority vote (and in their discretion by secret ballot), if a case brought to it is within its purview. The GMC should make an effort to resolve an issue by corrective action at the earliest time. In that spirit, the usual first step in the GMC's discretion, is to approach the faculty member(s) involved and seek a resolution without further action.

***Membership on the Committee***

The GMC shall consist of five eligible faculty members whose names shall be drawn randomly by the Personnel Committee. Eligible faculty consist of all tenured faculty in good standing except for members of the current year's Personnel Committee, faculty holding administrative positions such as Department Chair, Dean, or Associate Dean or any faculty member who has served as a member of a HC within the preceding 24 months.

It is the obligation of any faculty member drawn to serve on this committee.

***Chair of the Committee***

The five members shall elect a chair from among their membership at the time they are selected. The faculty shall be notified of the name of the chair of the committee.

***Term of Service***

The term of service of members on the GMC shall be the lesser of one case or one academic year. In the event a GMC becomes an HC, a new GMC shall be selected using the selection process listed under "Membership on the Committee" above. That new GMC will serve for the lesser of the remainder of the academic year or one case.

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## **Grievance and Mediation Committee**

### ***Process***

When a case is brought to the GMC, the chair of the PSC (*GMC*) shall convene the committee. If the GMC decides to investigate or hear the case (thereby becoming an HC), it will hear (*handle*) the case it has accepted to conclusion, even if that case takes more than the remainder of the academic year.

The HC has the ability to set its own rules of procedure, within the overall framework of assuring that the rules it sets are fair and equitable to those concerned with the case.

**For investigatory purposes**, fair and equitable shall include the right of the faculty member who is the subject of the inquiry to

1) Assistance of a representative. The representative may be an attorney retained at the faculty member's own expense or at no expense, a faculty member from the Graziadio School who is willing to assist.

2) Notice of the investigation. Within five days of the GMC becoming an HC, notice, in writing, shall be mailed to the residence of the faculty member and shall include the reasons for the investigation, the right of representation and the right to present evidence or other information in support of the faculty member.

**For hearing purposes**, fair and equitable shall include not only the rights included in an investigation but also

1) Right to representation. The representative may be an attorney retained at the faculty member's own expense or at no expense, a faculty member from the Graziadio School who is willing to assist. At the hearing, the representative may be present with the permission of the HC to assist the faculty member but is not authorized, except with the permission of the HC, to otherwise participate in the hearing.

2) Right to notice. The faculty member shall receive written notice of the date, time and place of the hearing not less than 5 business days before the scheduled date of the hearing. Included within the written notice shall be the reasons for the hearing, and the procedures for conducting the hearing.

### ***Hearing Procedures***

The faculty member shall have the right to present relevant evidence on his or her behalf, whether by witnesses, written statements or in another form. Witnesses are subject to examination by the HC and in their discretion, subject to examination by the faculty member or his or her representative. Only relevant evidence is admissible and in the case of disagreement over relevancy, a majority vote of the HC will determine admissibility.

After a case is accepted, the HC will request, in writing, documentation on the incident or incidents that precipitated the complaint from all sources it deems relevant. If necessary, the HC can request additional information or conduct oral interviews.

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**Grievance and Mediation Committee**

If oral interviews are scheduled, the HC must supply the faculty member whose behavior has been questioned with a list of the individuals to be interviewed. The faculty member may request that additional individuals be interviewed. If the HC decides not to interview the additional individuals, the faculty member must be provided a written explanation of the reasons those individuals were not interviewed (e.g. relevancy, cumulative).

***Burden of Proof:*** The burden of establishing the truth of an allegation shall be by a preponderance of the evidence and determined by the HC based upon the evidence presented to it.

***Recusation***

A member of the HC may recuse himself or herself from the case if, in the member's opinion, he or she has a conflict of interest.

A member of the HC may be recused from the HC for a real or apparent conflict of interest by a vote of at least three of the other members of the HC.

In the event of a recusation, a new member for the HC shall be drawn under the procedure listed above under "Membership on the Committee," so that an HC shall consist of five members.

A member recused from an HC is deemed not to have served on that BC.

***Findings***

After its review of the case, the HC shall present its findings, with the evidence in support thereof, together with a non-binding recommendation, to the Graziadio School administration. If the GMC (or HC) concludes that there is insufficient evidence to support the complaint or that it is unfounded, the GMC (or HC) will take no further action and notify the parties involved of its decision.

***Confidentiality***

All matters brought before the GMC and the HC shall be considered confidential.

# APPENDIX – I

PEPPERDINE UNIVERSITY  
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**Amended Charter of the Faculty Council**  
**The George L. Graziadio School of Business and Management**  
**Pepperdine University**

**Name**

This organization shall be known as the Faculty Council of the Graziadio School of Business and Management (the Graziadio School). It is referred to hereinafter as the Faculty Council.

**Purposes**

The purposes of the Faculty Council are to assist the development of the Graziadio School; to be the primary body representing faculty governance, to formulate, evaluate, and recommend policies to the Dean and President within the framework of the Graziadio School and the Pepperdine University missions; to facilitate communication among the faculty, the Graziadio School administration, and the Pepperdine University administration; and to serve as the forum for expressing faculty opinion on issues of importance. Said issues shall include, but are not limited to, the creation and promotion of ideas, recommendations, policies, and programs designed to be beneficial to students, faculty, the Graziadio School, and Pepperdine University.

**Membership**

The Faculty Council shall be composed of seven members, six members elected at-large from the participating faculty, not exceeding two from a single discipline and one member a Department Chair appointed by the Interdisciplinary Practice Group. Eligible candidates include all tenure, tenure-track, and other participating faculty members with a teaching contract of at least twenty-four (24) units, and shall exclude the Deans and Associate Deans. At least four (4) members of the Faculty Council must be tenured. A member of the Faculty Council may not be a Program Director or a member of the Personnel Committee. Nominations will be received at-large by academic disciplines and by self-nomination.

**Term**

Each Council member should serve for a two-year term of office, starting on September 1 of the academic year. Terms shall be staggered so that three members are elected on even-numbered years and three members are elected on odd-numbered years.

**Election**

During the summer semester, the Faculty Council shall conduct an election administered by the non-candidate members of the Council. The nomination period shall not be less than fourteen (14) days. Said process shall require that a successful nominee must receive a majority of the vote of the participating faculty appointed and serving at the time of election, excluding faculty who fail to vote within fourteen (14) days; voting shall be by secret written ballot. For Faculty Council elections, eligible voters include a majority of tenured, tenure-track, and other participating faculty with a teaching contract of at least twenty-four (24) units, excluding the Dean and Associate Deans. Nominations

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for membership will be received from the academic disciplines and by self-nomination. In the event more than two (2) members are elected from a discipline, the person(s) with the least number of votes from that academic discipline will be dropped.

**Chair**

Each September, the Faculty Council shall elect its own Chair who shall be responsible for conducting the Council meetings, reporting Council activity to the Faculty, representing the Faculty Council to the administration of the Graziadio School and the University, and such other duties as are assigned by the Faculty Council. The Chair shall be elected with at least four votes of the Council members, not including the nominee.

**Vice-Chair**

Each September, the Faculty Council shall elect its own Vice-Chair who shall be responsible for assisting the Chair and such other duties as are assigned by the Faculty Council, or succeed the Chair in the event of a vacancy. The Vice-Chair shall be elected with at least four votes of the Council members, not including the nominee.

**Voting**

Any action taken by the Faculty Council shall require at least four votes of the Council members, regardless of the number of members in attendance at a duly scheduled meeting. Voting may only take place at a duly scheduled meeting or during subsequent polling on an issue initiated at a duly scheduled meeting.

**Meeting**

The Faculty Council shall meet on the fourth Tuesday of each month, except during August and December or for open sessions with the general faculty, at a time agreed upon by the Council. Once a semester, the Council shall meet in open session with the faculty to foster communication, discuss issues, and formulate proposals of interest to the faculty. Open session meetings may be conducted on the third Tuesday of the month. After open sessions, the Council shall convene to deliberate. By agreement of at least four Council members, other meetings may be scheduled.

**Responsibilities**

The Faculty Council shall have the following responsibilities:

1. *Associate or Assistant Dean Appointment.* Elect a representative to the search committee; the Council provides through its representative a recommendation for the appointment of any Associate or Assistant Dean.
2. *Strategic Plan and Priorities.* Review and approve the Graziadio School Strategic Plan and Priorities before submitted to the faculty at large, and ensure the integrity of the process for program changes.

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3. *Fiscal Impacts.* Review and analyze the fiscal impact of all curriculum and program matters pertaining to the Graziadio School, and make recommendations as warranted.
4. *Budget.* Represent the participating faculty perspective on the Graziadio School budget before its submission to the University administration.
5. *Compensation and Benefits.* Review the compensation and benefit structure of participating faculty with respect to external benchmarking and internal equity, and make recommendations.
6. *Committees.* Review and approve the Chair, then, in collaboration with the Interdisciplinary Practice Group and the respective committee chair, approve members of all Graziadio School committees, except Personnel Committee which has traditionally been elected by the tenure and tenure-track faculty.
7. *Release Times.* Review and approve faculty release times and sabbaticals.
8. *Representation and Handbook.* Represent faculty issues, concerns, and views to the administration of the Graziadio School and the University, and develop and implement a process for review and revision of the Faculty Handbook.
9. *Ad hoc Meetings.* Schedule a meeting of the faculty for any purpose related to the responsibilities of the Faculty Council.
10. *Ad hoc Issues.* Present to the administration any issue that is requested by a written vote of a majority of the participating faculty.

It is not the intent of this Charter to rescind the responsibilities otherwise designated heretofore to the Graziadio School Personnel Committee or the Academic Disciplines unless there is a specific transfer of such to the Faculty Council approved by the appropriate authority.

**Amendment**

This charter may be amended by a majority written vote of eligible voters which include tenure, tenure-track, and other participating faculty with a teaching contract of at least twenty-four (24) units, excluding the Dean and Associate Deans. This voting process excludes faculty who fail to vote within fourteen (14) days.

**University Faculty Council**

The three Graziadio faculty representatives to the University Faculty Council shall be: a) Chair of the Faculty Council, b) Chair of the Personnel Committee, and c) a Department Chair elected by the Interdisciplinary Practice Group.

**Council Process**

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By July of each academic year, the Council shall deliver a written report to the Faculty on its activities and responsibilities for the past year.

**Last amended May 2007**

# APPENDIX – J

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**Charter of the Personnel Committee**  
**The George L. Graziadio School of Business and Management**  
**Pepperdine University**

**Name**

This organization shall be known as the Personnel Committee of the Graziadio School of Business and Management (GSBM). It is referred to hereinafter as the Personnel Committee.

**Purposes**

The purposes of the Personnel Committee are to assist in the development of the tenured and tenure track faculty of GSBM; to review and evaluate faculty on matters of promotion and tenure; to ensure that the procedural and substantive rules and criteria for promotion and tenure are consistently applied across GSBM within the context of the varied academic and professional programs; to recommend policies regarding faculty rank, tenure and promotion actions and policies to the Dean; to facilitate communication among the faculty on these issues; and to serve as the forum for expressing faculty opinion on these issues.

This Charter does not extend or rescind any rights or responsibilities otherwise designated to GSBM's Personnel Committee as contained in the Graziadio School's Faculty Handbook or the Tenure Policy Statement of Pepperdine University. Policies and practices of the Personnel Committee are set by the faculty of the school and will be revisited on a regular basis to ensure they remain consistent with the Faculty Handbook and University Tenure Policy and reflect the current philosophy of the faculty.

**Membership**

The Personnel Committee shall be composed of five faculty members elected at-large serving two-year terms commencing each August. Terms shall be staggered so that three members are elected on odd-numbered years and two members are elected on even-numbered years. Eligible candidates include only full-time, tenured faculty members and shall exclude the Dean, Associate Deans, Directors, Department Chairs, and other administrators involved in the faculty review process. Members of the Personnel Committee may participate on other committees and may attend but may not be a member of the Faculty Council. The Personnel Committee shall not have representation greater than two faculty members from any one department at any time. Should organizational realignment during the year result in more than two members from one department, all members shall complete their respective terms and the department limit shall be applied at the next election. Should a member be unable to complete their two-year term, a special election shall be conducted to fulfill the remaining term. The timing of the special election shall be at the discretion of the Personnel Committee Chair depending on the circumstances of the current member's departure.

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**Election**

Prior to July 1, the Personnel Committee shall conduct an election administered by the Committee's designated administrative support personnel. The nomination period shall not be less than fourteen (14) days from the date of notice to the faculty. Nominations will be received at-large by tenured or tenure track faculty members or by self-nomination. Interest in serving will be confirmed by the Chair of the Personnel Committee. Following the nomination period, an electronic ballot shall be published for voting by tenured and tenure track faculty for a period not less than fourteen (14) days.

A valid election shall be one in which ballots are received from more than 50 percent of the tenured and tenure track faculty eligible to vote. The candidate(s) receiving the highest number of votes in a valid election shall be considered elected, subject to eligibility as stated below.

In the event of a tie in the election for the last position(s) on the Personnel Committee, there shall be a single run-off election among the eligible candidates involved in that tie. If the single run-off election does not resolve the tie, then a committee consisting of

- 1) the tenure and tenure-track members of the Faculty Council or its successor and
- 2) the members of the Personnel Committee who have been elected to sit in the forthcoming year

shall vote by secret ballot to determine the person(s) elected to fill the unfilled position(s) on the Personnel Committee.

In the event there is a tie in that election, a coin toss will decide the person(s) elected to fill the unfilled position(s) on the Personnel Committee.

In no case shall an election result in more than two (2) members from one department on the committee. Should the election result in more than two (2) members from one department on the committee, the person(s) with the least number of votes from that department will be removed from consideration and the individual receiving the next highest vote count will serve (if not in violation of the two-from-one department rule). The newly elected Personnel Committee will be seated on August 1.

**Chair**

Each academic year prior to September 15, the Personnel Committee members shall elect a Chair who shall be responsible for conducting the Committee meetings, reporting as appropriate Committee activity to the Faculty, representing the Personnel Committee to the administration of the Graziadio School and the University, and such other duties as are assigned by the Personnel Committee. The Chair shall be elected by majority vote (at least three votes of the Committee members) and is not precluded from voting. In a situation where a majority is not obtained on the initial vote, the Committee shall continue voting until a Chair is elected. In such a circumstance where a majority vote can not be obtained, then the candidates running for Chair shall have their names submitted to the faculty eligible to vote for members of the Committee and the candidate receiving the highest number of votes cast shall become Chair.

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**Vice-Chair**

Each academic year prior to September 15, the Personnel Committee shall elect its own Vice-Chair who shall be responsible for assisting the Chair, performing the duties of the Chair should that individual be unable to do so, and will succeed the Chair in the event of a vacancy. The Vice-Chair shall be elected by a majority of the Committee members and shall act as recording secretary.

**Voting**

Any action taken by the Personnel Committee shall require at least a majority vote of the Committee members (three votes), regardless of the number of members in attendance at a duly scheduled meeting. Any member recusing himself or herself for cause shall leave the committee meeting for that case. Individual voting records will not be maintained and committee voting will only be reported in the aggregate (number yes/no/recuse). Voting may only take place at a duly scheduled meeting (see below).

**Meeting**

The Personnel Committee shall meet as directed by the Chair of the Personnel Committee and must meet in the Fall (e.g., tenure/promotion decisions), Spring (e.g., 5-year reviews/Emeritus), and as needed for other Personnel Committee business. A meeting may be scheduled by the Chair or by agreement of at least three Committee members and members may participate electronically. Sufficient notice must be provided to enable participation by all members. All meetings of the Personnel Committee are closed session and all deliberations are confidential. The Chair of the Personnel Committee is the sole authorized member to speak on behalf of the committee. Other members may speak on behalf of the committee if designated by the Chair or directed by a majority vote of the committee members. Following each meeting, the Chair or Vice-chair shall provide working notes to all members of the committee summarizing discussions. All formal decisions and recommendations of the Personnel Committee will be issued in letter form signed by the Chair to parties identified below.

**Responsibilities**

The Personnel Committee shall have the following responsibilities:

1. *Length of time on Tenure Track at Hire.* Unless otherwise prohibited by Section V, Subpart D of the Tenure Policy Statement of Pepperdine University, upon request by the Department Chair, recommend the length of time on the tenure track for a new faculty member. Thereafter the committee by majority vote will make its recommendation to the Dean.
2. *Academic Rank At Hire.* Upon request by the Department Chair, recommend an academic rank for a new tenure/tenure track faculty member. Thereafter the committee by majority vote will make its recommendation to the Dean.
3. *Early Tenure.* Unless otherwise prohibited by Section V, Subpart D of the Tenure Policy Statement of Pepperdine University, upon request by a tenure track faculty

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- member and his or her Department Chair, the Committee will review the application and supporting documentation and recommend whether or not the applicant should be allowed to proceed on an early tenure application. A tenure length set forth in the contract of hire is not early tenure unless the applicant seeks to shorten the length of tenure contained in the contract of employment. Thereafter the committee by majority vote will make its recommendation to the Dean.
4. *Promotion.* Upon receiving a request from a tenure track or tenured faculty member for promotion, the Committee shall review the application's request and supporting documentation. Thereafter the committee by majority vote will make its recommendation to the Dean.
  5. *Emeritus.* Upon request by a faculty member or member of the administration, a retiring tenured faculty member will be considered for emeritus status. The Committee will review the request and supporting documentation. Thereafter, the committee by majority vote will make its recommendation to the Dean.
  6. *Five-year Review.* The Committee shall review the supporting documentation and other materials provided by the faculty member and department chair and make recommendations regarding the development of the faculty member. The committee may request additional information as required to support their deliberations prior to completing their recommendation. Thereafter, the committee by majority vote will make its recommendation to the faculty member, with copies to the Department Chair and Associate Dean.
  7. *Faculty Inquiries.* When the Committee is requested by school administration, faculty, or staff to address matters within the purview of these chartered responsibilities, the Committee shall conduct its own inquiry or shall appoint a sub-committee to investigate the circumstances and make recommendations. To the extent possible, during and after any inquiries, members of the committee shall endeavor to protect the confidentiality of information received and recommendations made. The Committee after completion of its inquiry will make recommendations as appropriate.
  8. *Representation at University Tenure Committee.* The Chair of the Personnel Committee or his/her designee shall serve as a representative of the Graziadio School of Business and Management on the University Tenure Committee.
  9. *Representation at University Faculty Council.* The Chair of the Personnel Committee or his/her designee shall serve as a representative of the Graziadio School of Business and Management on the University Faculty Council.
  10. *Representation at Other Functions of the University and the School.* The Chair of the Personnel Committee or his/her designee shall participate in other functions of the University and the School as requested.

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11. *Representation and Handbook.* The Personnel Committee is empowered to represent faculty regarding matters pertaining to tenure, promotion, emeritus status and five-year review issues and to express its concerns on such matters to the administration of the Graziadio School and the University, and to develop and implement a process for review of those matters and submission of revisions to the Faculty Handbook to the body in charge of changes to that Handbook.
12. *Ad hoc Meetings.* Schedule a meeting of the faculty for any purpose related to the responsibilities of the Personnel Committee and shall notify the faculty via the Academic Affairs scheduling system.
13. *Ad hoc Issues.* Present to the administration or faculty any issue that is requested by a vote of a majority of the Committee members.
14. *Grievance and Mediation Committee:* Per the process and guidelines contained in the GSBM Faculty Handbook, upon initiation of a grievance by a faculty member, the Personnel Committee shall randomly draw five eligible faculty members to serve on the Grievance and Mediation Committee.

**Amendment**

This charter may be amended by a majority vote of eligible faculty which is limited to tenured and tenure track faculty but does not include the Dean or Associate Deans.

**Passed by faculty June, 2014**

# APPENDIX – K

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**Pepperdine University**  
The Graziadio School of Business and Management  
Curriculum Change Process Update

**Purpose**

The Curriculum Review Process was approved by faculty vote in spring 2011. After three years of experience with the process, the Faculty Council of the Graziadio School reviewed the process and proposes changes/refinements as described below. The purpose of the process and changes are two-fold. First, curriculum change and development often impacts resource allocation. The process is designed to give the faculty as a whole input into the allocation process to determine if the allocation is appropriate given student needs and the mission, values, and strategy of the university and the school. Second, curricula should change to reflect the ever changing business and economic environment. The process is designed to encourage innovation in courses, concentrations, and programs.

**The Process**

The first step is to determine which category a proposal falls into – minor, accelerated, or major.

**Minor:**

To be considered **Minor**, a proposal must have (1) no resources implications and (2) must not impact a discipline other than the one sponsoring the change. If the proposal meets these criteria, the steps are as follows:

1. The sponsoring faculty members send the proposal to the appropriate Program Committee, or committees if the proposal impacts more than one program.
2. The Program Committee members will be notified and have the opportunity to comment prior to the proposal going to the Graziadio Curriculum Committee,
3. If approved by the Curriculum Committee, the proposal goes to the Dean,
4. .If supported by the Dean, the proposal goes to UAC.

If there is any question about whether the change is minor, it will be sent to the chair of the Graziadio Faculty Council, the AD of Academic Affairs, and the AD of the respective program involved will determine unanimously whether the change should follow a minor, accelerated, or major process.

Included: Changes in course titles, course descriptions, course numbers, pre-requisites within a discipline, and other minor administrative changes that have no implications for resource allocation.

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**Accelerated:**

To be considered **Accelerated**, a proposal would normally have little or no resource implications. If the proposal has resource implications, the chair of the Graziadio Faculty Council, the AD of Academic Affairs, and the AD of the respective program involved will determine unanimously whether the change should follow an accelerated process.

Proper documentation should be submitted to the Faculty Council about decisions on whether a proposal should follow the Accelerated or Major approval process. If the proposal meets the criteria for the Accelerated process, the steps are as follows:

1. The sponsoring faculty members send the proposal to the appropriate Program Committee, or committees if the proposal impacts more than one program, at least two weeks prior to the next scheduled meeting(s).
2. The Program Committee members should vote on the proposal at the next meeting, and if approved by at least 51% of the voting members, the proposal will be sent to the Department Chairs for review.
3. If the Department Chairs agree that this is a viable proposal given current or the specified new resources, the proposal is implemented.
4. The purpose of this category is to encourage innovation. If a new course is proposed, it can be listed as GSBM 698 and offered up to three times to provide data on student demand, relevance to the market, and support of the mission and strategy of the school. If evidence suggests that the course is viable after the pilot period, the Faculty should be informed prior to it being added to the catalog.

**Included:** New courses (including pilot courses) which would fall within a current concentration or program and would require little or no additional resources such as new faculty, marketing, recruiters, etc. New pathways between programs with little or no additional resource implications.

**Note:** Courses which follow the accelerated process can be combined at a later date into a new concentration or program. At that point, the concentration or program would be required to follow the **Major** proposal process.

**Major:**

If a proposal is deemed to be **Major**, it must follow all steps of the current Curriculum Change Process. These include the following:

1. The sponsoring faculty members will send the proposal to the appropriate Program Committee. Included with the proposal should be the following information:
  - a. Program Learning Goals and objectives and full program assessment plan, including quality assurance
  - b. Rationale: the problem being solved or the opportunity which is being addressed by the proposal,
  - c. Resources: the resources needed for this proposal (e.g. FTE, financial, staff, technology, faculty, etc.),

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- d. Implementation: timing, schedule and criteria for a sunset clause.
  - e. Projections: enrollment, revenue, expenses and brand recognition (if proposal includes courses which followed the accelerated process, data gathered from those offerings should be included),
  - f. Innovation: unique features benefits, value to students, market conditions, etc.
2. The proposal must be approved by at least 51% of the voting members of the Program Committee, by anonymous closed ballot.
  3. If approved by the Program Committee, the proposal with all supporting data is sent to the Associate Dean of the respective program, the Associate Dean of Academic Affairs, the Executive Director of Administration and the Department Chairs. Each will independently evaluate the proposal and provide a written analysis, assessment and recommendation. These should include the following:
    - a. AD Program and AD Academic Affairs – fit with the school’s strategy and Christian mission, impact on other programs, resources and timing,
    - b. Director of Administration – impact on the budget,
    - c. Department Chairs – circulate the proposal within their departments for faculty input.
  4. Two steps occur simultaneously. First, the Graziadio Faculty Council will review the process to make sure all steps have been followed, and to ensure appropriate participation and data were provided. Second, the Program Committee will review comments and revise proposal as appropriate.
  5. The proposal is sent to the Graziadio Curriculum Committee for review and evaluation. An anonymous closed ballot of members is taken. Any vote to abstain is considered as not supporting the proposal. Proposals must be supported by 2/3 of the members to be moved forward to step 6. If not supported, the proposal is sent back to the Program Committee with an explanation.
  6. The Program Committee chair or the sponsoring faculty members present the proposal to the faculty in an open meeting (either before or after the Graziadio Curriculum Committee review). All documents and supporting data will be provided to by faculty by email prior to the meeting. During the meeting, all changes made or comments not included in the proposal since the faculty review in step 3 are highlighted, explained and discussed.
  7. Following the meeting, the faculty will vote anonymously for the proposal. All participating faculty with contracts stipulating 12 units or more of teaching are eligible to vote. To pass, 51% percent of eligible participating faculty must support the proposal. If the required votes are not achieved, the proposal does not pass. The Dean and Associate Deans are not eligible to vote.
  8. If the required vote is obtained, the proposal is sent to the Dean. The Dean can SUPPORT, NOT SUPPORT or CONDITIONALLY SUPPORT the proposal. Rationale for the last two decisions must be sent to the Program Committee for review. If the Dean supports the proposal, it is sent to the University Academic Council by the chair of the Graziadio Curriculum Committee.
  9. Once the proposal is approved by UAC, it is entered into the school’s catalog.

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Included: New programs, new concentrations, changes that affect another discipline's offering, and substantive and/or significant changes within an existing program or concentration, which involve resource allocation, such as increasing or decreasing units, changing FTE, etc.

Passed by Faculty July 2014

# Handbook Updates

