

Part 2

[DRAFT FOR CONSIDERATION BY THE ACADEMIC SENATE 2023-05-07]

EDITS TO OTHER THAN CHAPTER 6 (#1 to #16)

Text as it exists in the 2022 edition is in blue.

Proposed new text is in black.

Comments are in red.

<Please note that item #14 was added to the list, and later items renumbered, compared to the original draft. This updates an obsolete reference to Chapter 6.>

#1

3-B (2)(a)

Teaching-track, research-track, clinical-track, practitioner-track, and librarian faculty will have a different activity profile depending on the needs and expectations of the academic unit in which they serve.

<Replace with:>

Teaching-track, research-track, clinical-track, practitioner-track, and librarian faculty will have a different activity profile depending on the needs and expectations of the academic unit in which they serve. For University policy on profiles for Teaching-Track and Research-Track faculty, see <link to October 18, 2016 policy>

#2

3-B (3)(a)

<Add the following policies to the list or rearrange existing list for usefulness; in addition, some policies not called out here are renamed or citation has changed. The links and policy titles will be updated to reflect current information shortly before the new handbook is issued.>

Guide to Resources and Policies

- Who do I call if? <https://ooc.usc.edu/who-do-i-call-if> [MOVED; NEW SUBHEAD]

General

- 3-B (1)(b) Professional Freedom
- 6-B Types of Misconduct [MOVED; CITE CHANGED]
- 8-D (4) Abandonment of Duty, see also 3-D (1) ¶2
- 8-C Adequate Grounds for Dismissal
- Prohibited Conduct, <https://policy.usc.edu/discrimination> [MOVED]
- Policies, <https://policy.usc.edu>

Healthcare Professionals: In General

- 3-B (2)(d) Clinical Responsibilities
- Healthcare Compliance, <https://ooc.usc.edu/compliance-programs/healthcare-compliance>
 - Detecting and Preventing Fraud, Waste and Abuse
 - Exclusion Screening Policy
 - Electronic Medical Records Standards
 - Use of Protected Health Information for Treatment, Payment and Healthcare Operations
 - Use of Protected Health Information for Research Purposes

<Discrimination, Harassment, and Retaliation>

- Mandatory harassment prevention training: <https://we-are.usc.edu/2021/10/01/10-1-mandatory-harassment-prevention-training/>

<Entity-specific policies:>

- Keck/Norris Hospital Policies
- Verdugo Hills Hospital Policies
- USC Care Medical Group Policies
- CHLA Hospital Policies
- USC Care Medical Group Documentation and Billing Standards [ON1]

<Conflicts>

- Gifts and Hospitality: <https://policy.usc.edu/gifts-and-hospitality-policy/>

Culture, Ethics, and Compliance

- Student Handbook, <https://policy.usc.edu/studenthandbook>
- Misappropriation of University Assets, <https://policy.usc.edu/asset-misappropriation/>

Relations with Students

- Catalogue, <https://catalogue.usc.edu>
- Schedule of Courses, <https://classes.usc.edu>
- Student Handbook, <https://policy.usc.edu/studenthandbook>
- Grading and Correction of Grades Handbook, <https://arr.usc.edu/wp-content/uploads/ARR Grade -Handbook 2018.pdf>

Protecting Minors

- Protecting Minors, <https://policy.usc.edu/protecting-minors/>
- Minors in Laboratories, <https://policy.usc.edu/minors-in-laboratories-and-shops/>

#3

3-B(3)

3-B (3)(a)

3-B(3)(b)

3-B(3) Additional Policies and Resources

3-B(3)(a) The faculty rights and responsibilities listed in this section are not comprehensive. Other rights and responsibilities are described elsewhere in this Handbook, and University, school, and medical enterprise documents and websites. Some policies apply specifically to certain groups of faculty, including those with clinical assignments and those performing research. A non-exhaustive index is provided below for convenience.

<list of policies>

3-B (3)(b) Section 8-C's first sentence – listing neglect of duty, incompetence, violations of academic freedom, misconduct, dishonesty, unmanaged or unreported conflict of interest, and moral turpitude – identifies fundamental short fallings in faculty obligations.

<Replace with a single section 3-B(3) as follows:>

3-B(3) Additional Policies and Resources

This section does not contain a complete list of faculty rights and responsibilities. Other rights and responsibilities are described elsewhere in this Handbook, and University, school, and medical enterprise documents and websites. Some policies apply specifically to certain groups of faculty, including those with clinical assignments and those performing research. Faculty responsibilities also include basic norms; failure to adhere to those norms can constitute cause for dismissal or other sanctions (8-C). A non-exhaustive list of related policies is provided below for convenience.

<list of policies>

#4

3-C (2)(a) Compensation Components [last bullet]

Institutional Base Salary: Institutional base salary includes core salary, supplementary salary, administrative stipends and other non-core salary, as established annually by the Provost.

<Replace with:>

Institutional Base Salary: Institutional base salary includes core salary, certain supplementary salary, certain administrative stipends, and certain other non-core salary, all as established annually by the Provost.

#5

3-C (2)(b) Compensation Changes

Merit-based increases in core salary of continuing active faculty are considered annually as part of the salary setting process. University policies and guidelines deal with the merit evaluation of faculty, including the participation of a faculty committee.

No cuts in the contractual University core salary of continuing active full-time tenured faculty members or continuing active full-time untenured faculty members during the term of an existing annual appointment or a contract shall be made except by the Provost and then only:

- For bona fide financial reasons short of financial exigency, pro rata applying an equal percentage to all continuing active full-time tenured and untenured faculty in the school or
- As determined by the Committee on Professional Responsibility under Section 6-AA. These cuts are not to exceed 10%, for adequate cause (as defined in the first sentence of Section 8-C), not necessarily serious enough to warrant dismissal. In each case, the cut will be subject to annual review. This paragraph does not override provisions on reduction in salary elsewhere in the Handbook, or
- In accord with contractual terms or express agreement with the faculty member

<Replace with:>

Merit-based increases in core salary of continuing active faculty are considered annually as part of the salary setting process. University policies and guidelines deal with the merit evaluation of faculty, including the participation of a faculty committee.

No cuts in the contractual University core salary of continuing active full-time tenured faculty members or continuing active full-time untenured faculty members during the term of an existing annual appointment or a contract shall be made except by the Provost and then only for one or more of the following reasons:

- Bona fide financial reasons short of financial exigency, pro rata applying an equal percentage to all continuing active full-time tenured and untenured faculty in the school.
- As a sanction for misconduct recommended by the Committee on Professional Responsibility as described in Section 6-G(4). This section does not override provisions on reduction in salary elsewhere in the Handbook.
- In accord with contractual terms or with the express agreement of the faculty member.

All cuts are subject to annual review during the regular salary setting process.

#6

3-D (1) General [FIRST TWO PARAGRAPHS]

Faculty may take a leave of absence for various reasons. This section describes some of the different type of leaves. Additional details on policies pertaining to leaves, including some types not listed here, are available on the University Policies website, (<http://policy.usc.edu>). Among other things, these policies explain medical leave, school activities leave, military leave, voting leave, bereavement leave, leave for jury duty, and payment of disability benefits or University insurance benefits for those on leave. As further detailed on that website, the University provides all leaves required by Federal or state law or city ordinance and provides reasonable accommodations necessary to enable an employee with a qualifying disability (as defined under state and federal law) to perform the essential functions of the employee's position, or necessary to enable an employee with a qualifying disability to enjoy benefits and privileges of employment equal to those enjoyed by similarly-situated employees who are without disabilities.

Failure to return to work after one year on leave or absent from duty may be a basis for termination of employment by the President or Provost without formal proceedings, unless the Provost approves an extension. Most types of leave are granted for one semester, or one year as a maximum.

<Replace with:>

This section summarizes leaves of absence for which faculty members may be eligible. Detailed policies are available on the University Policies website: <http://policy.usc.edu>. Unless the Provost approves an extension, failure to return to work after one year on leave or absence from duty may be a basis for termination of employment by the President or Provost without formal proceedings. Most types of leave are granted for one semester, or one year as a maximum. Leaves are not approved retroactively.

The University provides all leaves required by Federal or state law or city ordinance and provides reasonable accommodations necessary to enable an employee with a qualifying disability (as defined under state and federal law) to perform the essential functions of the employee's position, or necessary to enable an employee with a qualifying disability to

enjoy benefits and privileges of employment equal to those enjoyed by similarly-situated employees who are without disabilities.

#7

3-D (8)(d)

3-D (8)(d) Childcare Responsibilities of Probationary Faculty

To accommodate the special responsibilities of the probationary period with the demands of childrearing, a probationary faculty member who is the primary caregiver of one or more children,

- (1) shall be entitled to a half-time leave, with half-time duties at half pay, up to a maximum of two years.
- (2) may request, as an alternative to part-time leave, a reduced teaching and service load for up to a maximum of two years (so that there is a total two course reduction or equivalent over that period, including application of Section 3-D(8)(b)), without reduction in pay, subject to the approval of the Provost.
- (3) as another alternative to part-time leave or a reduced teaching and service load, may request a limited period of assistance such as provision of a laboratory technician or teaching assistant, subject to the approval of the Provost.

<Replace with:>

3-D (8)(d) Childcare Responsibilities of Probationary Faculty

To accommodate the special responsibilities of the probationary period with the demands of childrearing, a probationary faculty member who is the primary caregiver of one or more children,

- (1) shall be entitled to a half-time leave, with half-time duties at half pay, up to a maximum of two years, or
- (2) may request a reduced teaching and service load for up to a maximum of two years (so that there is a total two course reduction or equivalent over that period,

including application of Section 3-D(8)(b)), without reduction in pay, subject to the approval of the Provost, or

(3) may request a limited period of assistance such as provision of a laboratory technician or teaching assistant, subject to the approval of the Provost.

These accommodations are available only once per faculty member.

#8

3-H (1)(b) Disclosure of Outside Activities

All outside employment, as well as other outside activities or personal relationships described in the University policy (<https://policy.usc.edu/conflict-of-interest/>) must be disclosed through the “diSClose” online system (<https://disclose.usc.edu/>).

<Replace with:>

All outside employment, as well as other outside activities or personal relationships described in the University policy (<https://policy.usc.edu/conflict-of-interest/>) must be disclosed through the “diSClose” online system (<https://disclose.usc.edu/>), and also to the department chair, dean, or other supervisor.

#9

6-C HARASSMENT-AWARENESS TRAINING

All faculty members must periodically complete required harassment-awareness training programs provided by the University. Additional examples of harassment are provided in this training. It is important for faculty and supervisors to take this training even if they do not believe they need it. This is especially so for senior faculty, who are leaders of the academic community and role models for others. Taking the training as periodically required is not discretionary; it is part of the duties of each faculty member.

<Add the following:>

3-J REQUIRED TRAINING

All faculty members must periodically complete required training on preventing sexual harassment and abusive conduct. Additional examples of harassment are provided in this training. It is important for faculty and supervisors to take this training even if they do not believe they need it. This is especially so for senior faculty, who are leaders of the academic community and role models for others. Taking the training as periodically required is not discretionary; it is part of the duties of each faculty member.

Certain groups of faculty are also expected to complete training as explained in other University policies and websites, for example:

- Research Compliance Training, <https://research.usc.edu/training/>
- Healthcare Compliance Education, <https://ooc.usc.edu/healthcare-compliance/education-and-training/healthcare-compliance-education/>
- Human Subjects Research Training, Good Clinical Practice, HIPAA Training, HHS Conflict of Interest Training, Environmental Health and Safety Training, <https://oprs.usc.edu/training/>

#10

4-B (3) Maintaining the Tenure Systems

An individual holding a tenure-track faculty appointment must, by the end of the probationary period, either be granted tenure or be given a terminal appointment; such an individual cannot be retained or rehired on a non-tenured, full time basis past the maximum probationary period except under extraordinary circumstances and with the approval of the Provost, including use of a research-track, teaching-track, practitioner-track, and clinical-track faculty title.

<Replace with:>

If an individual holding a tenure-track faculty appointment has not been granted tenure by the Tenure Decision Date, the individual is entitled to a one-year terminal appointment; such an individual cannot be retained or rehired on a full-time basis thereafter except under extraordinary circumstances, only as a research-track, teaching-track, practitioner-track, and clinical-track faculty, and with the approval of the Provost.

#11

4-D LENGTH OF APPOINTMENT

4-D (1) Probationary Period for Tenure-Track Faculty

The Recommendation for Appointment Form requests specific information as to the number of years of continuous full-time service at other institutions in a faculty position where the individual is expected to do the scholarly or creative work we expect of a candidate for tenure. Such service at another institution shall count towards the faculty member's maximum probationary period. With three or more years of prior probationary service, the maximum probationary period shall be three years shorter.

4-D (1)(a) Tenure Decision Date

The Recommendation for Appointment Form, when approved by the Provost, also states the date before which a decision on tenure must be made at the University of Southern California and communicated to the tenure-track faculty member. This date, called the Tenure Decision Date, is 12 months before the expiration of the stated probationary period. The letter of appointment for each new faculty member must specify the Tenure Decision Date, which will be determined by the length of the school-specific maximum probationary period and any credit accorded for prior service. The letter should also explain the school-specific relationship (if any, see Section 4-F (2) (c)) between the decision on promotion and the decision on tenure. A signed copy of the faculty member's acceptance must be filed with the Provost.

<Replace with:>

4-D (1) Probationary Period and Tenure Decision Date

Each tenure-track faculty member has a person-specific *maximum probationary period*. The person-specific probationary period is equal to the school-specific maximum probationary period reduced by the number of years of prior full-time service in a similar faculty position at other institutions, with a maximum reduction of three years. For example, a faculty member in a USC school with a seven-year maximum probationary period would have a person-specific maximum probationary period of (i) seven years if the person had no previous service, (ii) six years if the person had one year of previous service, and (iii) four years if the person had three or more years of previous service. The person-specific

probationary period may be extended as provided for in Sections 3-D(8), 4-D, 4-D(1)(e) and 4-D(2)(a). The faculty member's Tenure Decision Date is 12 months before the person-specific maximum probationary period. The tenure decision must be made before the Tenure Decision Date. The person-specific maximum probationary period and Tenure Decision Date should be stated in the faculty member's appointment letter.

#12

Chapter 7. FACULTY GRIEVANCES

<Remove the EEOTIX box at start of chapter>

<Correct section numbers pointing to Chapter 6>

#13

7-A SUBJECT MATTER

Grievances concerning the policy on Providing a Safe Educational and Work Environment are handled under the separate procedures provided within Chapter 6. Allegations of scientific misconduct are handled under the process set out in the University Policy on Scientific Misconduct (<https://policy.usc.edu/scientific-misconduct/>).

<Replace with:>

Challenges on matters referred to in Chapter 6 on Faculty Misconduct, Complaints, Investigations, and Sanctions, are handled under the separate procedures described in Chapter 6. Allegations of scientific misconduct are handled under the process set out in the University Policy on Scientific Misconduct (<https://policy.usc.edu/scientific-misconduct/>).

#14

7-B (2)(a) Requirements

Formal proceedings for a faculty grievance shall commence by the filing of a grievance with the Academic Senate on a form obtainable from the Senate office. A faculty member must file a grievance by submitting the appropriate form in writing either in hard copy or, if available, online to the Academic Senate President within nine calendar months of the discovery of the action on which the grievance is based (except for the special timeline provided in the first sentence of Section 6-G for grievances). The Academic Senate office shall maintain grievance records in a confidential manner.

<Replace with:>

Formal proceedings for a faculty grievance shall commence by the filing of a grievance with the Academic Senate on a form obtainable from the Senate office. A faculty member must file a grievance by submitting the appropriate form in writing either in hard copy or, if available, online to the Academic Senate President within nine calendar months of the discovery of the action on which the grievance is based. The Academic Senate office shall maintain grievance records in a confidential manner.

Reason: The parenthetical statement refers to an appeal process using grievances that has been replaced with an appeal process through COPR and the provost delegate.

#15

Chapter 8. FACULTY DISMISSALS

<Remove the EEOTIX box at start of chapter>

<Correct section numbers pointing to Chapter 6>

#16

8-D (3)(a) Limitation on Suspensions

In no event shall suspension be used as penalty, an alternative to dismissal, or outside normal dismissal procedures, except for sanctions determined by the Committee on Professional Responsibility under Section 6-AA (3), paid leave under Section 6-H (1), or temporary separation under Section 8-D (3)(b).

<Replace with:>

Suspension shall not be used as penalty, an alternative to dismissal, or imposed outside normal dismissal procedures, except that suspension as a sanction is provided for as recommended by the Committee on Professional Responsibility under Section 6-G (4), temporary separation is provided for under Section 8-D (3)(b), and administrative leave is provided for in the Policy on Prohibited Discrimination, Harassment, and Retaliation, part VII.C.