



**FACULTY HANDBOOK
2020**

FACULTY HANDBOOK



Bogotá, May 2020

An updated version of the *Faculty Handbook*
is available at
<http://secretariageneral.uniandes.edu.co>

INDEX

MISSION	8
—	
INTRODUCTION	9
—	
CHAPTER I. INSTITUTIONAL VALUES	10
—	
A. ACADEMIC EXCELLENCE	10
B. THE FACULTY MEMBER'S ACADEMIC PLAN	10
C. COMMITMENT TO THE UNIVERSITY'S OVERALL PLANS	10
D. PLURALISM	10
E. THE FACULTY'S ETHICAL RESPONSIBILITY	11
F. COMMITMENT TO HUMAN RIGHTS AND TO THE POLITICAL CONSTITUTION	11
 CHAPTER II. FACULTY RIGHTS AND OBLIGATIONS	 11
—	
A. FACULTY RIGHTS	11
B. FACULTY OBLIGATIONS	13
C. ACTION FOR RESTORING RIGHTS	14
 CHAPTER III. FACULTY APPOINTMENTS	 15
—	
A. SELECTION AND APPOINTMENT	15
B. ORIENTATION OF NEW FACULTY	16
C. LEAVE OF ABSENCE AND REAPPOINTMENT	17
 CHAPTER IV. FACULTY RESPONSIBILITIES	 17
—	
A. DIRECT TEACHING	17

B. ACADEMIC OUTPUT	18
1. Producing, Applying and integrating knowledge	18
2. Creation	19
3. Innovation	19
4. Entrepreneurship	19
5. Teaching research, development and innovation	19
6. Thesis and graduation-project advising	20
C. INSTITUTIONAL DEVELOPMENT	20
1. Internal ambit	20
2. External ambit	21

CHAPTER V. FACULTY RANKING

	22
–	
A. ASSISTANT PROFESSOR	22
B. ASSOCIATE PROFESSOR	23
C. FULL PROFESSOR	23
D. RELEASE FROM FACULTY RANKING	23

CHAPTER VI. TRIENNIAL ASSESSMENT

	23
–	
A. SUBCATEGORIES	24
B. TRIENNIAL ASSESSMENT COMMITTEE	25
C. DIRECT TEACHING COMPONENT	25
1. Assessment by students	26
2. Teaching assessment	26
D. ACADEMIC OUPUT COMPONENT	27
E. INSTITUTIONAL DEVELOPMENT COMPONENT	28
F. ASSESING TRIENNIAL-PROGRESS	28
G. FACULTY COUNSELING AND SUPPORT PROGRAM	29

CHAPTER VII. PROMOTION

	30
–	
A. INFORMATION REQUIRED FOR THE REVIEW OF PROMOTION APPLICATIONS	30
1. Information provided by the University	30
2. Information to be provided by the Faculty member	30
3. External assessment letters	32

4. COF assessment	32
B. FACULTY RANKING AND PROMOTION COMMITTEES	32
1. Composition of the Faculty ranking committees	32
a. External Peer Committee, CPE	33
b. Composition of the COU	33
c. Composition of the COF	33
2. Promotion criteria	34
3. Promotion to assistant professor and to associate professor	35
a. Promotion procedures	35
b. Maximum number of years for promotion	35
c. Record of decisions	35
4. Promotion to full professor	36
a. Promotion procedures	36
b. Record of decisions	36
CHAPTER VIII. SPECIAL CATEGORIES	
<hr/>	36
A. SPECIAL FACULTY PROFILES	37
1. Lecturer	37
a. Appointing lecturers	37
b. Responsibilities of lecturers	37
c. Semiannual assessment, permanence and remuneration	38
2. Specialist Professor	39
3. Full-time Teacher	40
4. Distinguished practitioner	41
5. Instructor	41
B. SPECIAL RESEARCH PROFILES	41
1. Associate researcher	41
C. PENSIONER AND RETIRED FACULTY	42
D. EMERITUS PROFESSOR	43
E. HONORARY PROFESSOR	43
F. VISITING PROFESSORS, POSTDOCTORAL ASSISTANTS AND ADJUNCT PROFESSORS	44
CHAPTER IX. DISCIPLINARY RULES	
<hr/>	44
A. DISCIPLINARY OFFENSES RELATED TO ACADEMIC PRACTICE	45
B. START OF THE DISCIPLINARY PROCESS	46

C. DISCRETIONARY PROCESS	46
D. PRELIMINARY ASSESSMENT OF THE OFFENSE	47
E. REGULAR DISCIPLINARY PROCESS FOR MINOR AND MODERATE OFFENSES	48
F. REGULAR DISCIPLINARY PROCESS FOR SERIOUS OR VERY SERIOUS OFFENSES	49
CHAPTER X. DISMISSAL CAUSED BY ACADEMIC REASONS	
—	50
—	
A. FIRST TRIENNIUM OF ASSISTANT PROFESSORS	51
B. DISMISSAL CAUSED BY NON-PROMOTION OF ASSISTANT PROFESSORS	51
C. DISMISSAL CAUSED BY ACADEMIC REASONS FOR ANY RANK	51
1. Start of the dismissal process	51
2. <i>Ad hoc</i> permanence committee	52
3. Dismissal review	52
CHAPTER XI. CONFLICT OF INTEREST	
—	53
—	
A. INSTITUTIONAL DECLARATION	54
B. CONFLICT OF INTEREST RELATED TO THE PROFESSIONAL PRACTICE	54
C. CONFLICT OF INTEREST RELATED TO TEACHING	55
D. CONFLICT OF INTEREST RELATED TO DECISIONS TAKEN BY FACULTY ON BEHALF OF THE UNIVERSITY	56
E. CONFLICT OF INTEREST RELATED TO PARTICIPATION IN POLITICS	56
F. CONFLICT OF INTEREST RELATED TO PARTICIPATION IN SPECIALIZED CONSULTING, APPLIED RESEARCH OR BUSINESS INTERNSHIPS	56
CHAPTER XII. SEMESTER OF INDEPENDENT ACADEMIC WORK (STAI)	
—	57
—	
CHAPTER XIII. INCENTIVE FOR INTERDISCIPLINARY WORK (ETI)	
—	58
—	

CHAPTER XIV. TEMPORARY PROVISIONS

—
—

60

CHAPTER XV. LEGAL EFFECT

—

61

MISSION

Universidad de los Andes is an autonomous, independent and innovative institution that fosters pluralism, tolerance and respect for ideas. Committed to academic excellence, students are groomed in critical and ethical thinking, aimed at instilling awareness of their surroundings and social and civic responsibilities.

Students are the University's chief focus of an educational process that is comprehensive, interdisciplinary and flexible. To make this possible, support is made available for research that contributes to the country's development and international status, endeavoring that a highly skilled faculty build an outstanding academic and professional career.

INTRODUCTION

The purpose of the Faculty Handbook is to organize and govern the academic activities of the University's faculty at large. Included are overall rights and obligations, academic responsibilities, faculty ranking and promotion, assessment mechanisms, conflict of interest and disciplinary policy. Each school must regulate the specificities of its academic discipline by means of its own Faculty Handbook, in accord with the general guidelines of these Handbook and approved by the University's Academic Council.

Application of these Handbook contemplates two groups of faculty: those who belong to the faculty ranking herein described, and those pertaining to special categories, (see Chapter VIII). The Faculty Handbook of schools featuring such categories must set forth applicable guidelines.

It is understood that the term "school" in these Handbook refers not only to the schools as such, but also to other current or future academic units of similar status, i.e., the Center for Research and Training in Education (CIFE), the Interdisciplinary Center for Development Studies (Cider), and the Alberto Lleras Camargo School of Government (EGOB).

CHAPTER I

INSTITUTIONAL VALUES

The University's institutional values stem from the mission statement and reflect general goals, thus transcending the functions of the Faculty Handbook.

A. Academic Excellence

The University and each of its units are committed to attain high academic standards in programs and activities addressed to undergraduate, graduate, research, continuous education, and community service. A faculty characterized by the highest academic and human qualifications should make this possible. All processes under these Handbook seek to ensure that the faculty features the competences, conditions and resources required to fulfill this aim of academic excellence.

B. The faculty member's academic plan

The University's academic excellence will only be possible if faculty members may structure their work at the institution as a long-term project of high scholarly value. This requires conditions favoring freedom of thought and expression, creativity, and a spirit of research and study. All faculty activities must take place under conditions of academic autonomy.

C. Commitment to the University's overall task

The University in itself represents an overall task with shared goals and concerted efforts. Accordingly, the individual professional and academic aspirations of faculty members must be constructively aligned with the institution's overall goals.

D. Pluralism

As a non-confessional educational institution, independent of religious or political creeds, the University fosters a tolerant and pluralist setting, based on a culture of dialogue and respect for dissent. Such a culture offers faculty members, on one hand, a

guarantee for developing academic and intellectual activities; and on the other, makes for special demands that they respect diversity of thought and action on the part of academic peers, students, and the institution at large.

E. The Faculty's Ethical Responsibility

A faculty member is above all an educator and a researcher, entailing special ethical demands. Their intellectual and human qualifications must allow them to offer students a critical and ethical education that contributes to their professional development and integrity, conscious of their academic, professional and social responsibilities.

F. Commitment to Human Rights and to the Political Constitution

The University is respectful of human rights, together with the principles and values of the Political Constitution, In all projects, programs and actions.

CHAPTER II

FACULTY RIGHTS AND OBLIGATIONS

Pursuant to the University's mission and institutional regulations, and in accord with the Handbook purpose, the following rights and obligations will apply to faculty. Compliance will guide the faculty member's professional practice and governing institutional procedures.

A. Faculty rights

1. To be respected by all members of the University community, free from harassment, intimidation or coercion.
2. To enjoy academic freedom, freedom of expression and thought.
3. To enjoy intellectual freedom concerning subjects of research or creation.

4. To express, publish and present findings derived from their work, without prejudice to agreements with third parties or with the University, and pursuant to the Intellectual Property Regulations of Universidad de los Andes.
5. To have their academic output achievements recognized, valued and protected, pursuant to the University's legal rulings and internal standards.
6. To have faculty responsibilities adequately distributed, favoring academic excellence, pursuant to the University's overall criteria and the programming and planning of academic units.
7. To benefit from University sponsored faculty development programs, in accord with criteria, plans and resources allocated for this purpose.
8. To be promoted in faculty ranking in accord with established requisites and procedures as determined by the institution.
9. To elect, and be elected to University governance bodies in which the faculty is represented, pursuant to the mechanisms established for that purpose.
10. To employ effective and respectful means of communication with all members of the University community, and obtain adequate, accurate and timely information on matters determining or affecting the faculty member's professional and academic performance.
11. To know the criteria by which their work at the University will be assessed.
12. To obtain fair remuneration, consistent with outcomes of assessment procedures and accumulated academic achievements acknowledged in faculty ranking.
13. To employ, in accord with applicable regulations, all physical plant, structure [sic] and services provided to the community by the University.

14. To confidentiality of personal data, professional and disciplinary records, pursuant to legal and institutional provisions.

B. Faculty obligations

1. To respect the rights of others, and to refrain from abusing their own rights.
2. To perform their work honestly and responsibly, acting with the diligence expected from their profession in teaching, academic output, creation and institutional development.
3. To respect members of the University community, free from harassment, intimidation, discrimination or coercion.
4. To report any instance of disrespect, harassment, intimidation, discrimination or coercion.
5. To give credit to the University for output and processes resulting from their work at the institution.
6. To correctly employ the name and property of the University, and refrain from using them for commercial or personal gain.
7. To respect the academic interests and approaches of their peers, in accord with the principles of intellectual pluralism.
8. To allow and foster students' approach to knowledge in a manner that is liberal, non-dogmatic, academic and objective.
9. To keep abreast of academic and professional developments in their discipline and their teaching competence, in pursuit of continuous improvement.
10. To strengthen a culture of responsible participation, particularly in situations that entail decision-making.

11. To submit timely information required in assessing their academic and professional performance, pursuant to any related procedures, Handbook rulings or academic unit faculty regulations.
12. To contribute to student counseling.
13. To collaborate with faculty assessment procedures set forth in the Handbook.
14. To cooperate with teaching load assignments and course schedules.
15. To contribute to self-assessment and accreditation processes.
16. To adequately employ, under corresponding regulations, all physical plant, structure and services the University makes available to its community.
17. To contribute to fund-raising efforts that help support academic activities.

C. Action for Restoring Rights

The University will ensure compliance of all faculty rights and obligations set forth in the Handbook. If a faculty member considers that one or more of the aforementioned rights are breached, he or she may submit a written statement to the academic vice president, requesting a review. The academic vice president will take the necessary steps to resolve the claim or dismiss it. There will be no recourse against decisions taken by the academic vice president.

The academic vice president may, when circumstances so require, refer the case to the Academic Council, which will appoint an *ad hoc* committee to issue a statement. If the statement concludes the right that the faculty member claims has indeed been breached, the Academic Council will define appropriate actions to be taken.

Regardless of the outcome, the faculty member must receive a duly substantiated written reply.

CHAPTER III FACULTY APPOINTMENTS

Faculty appointments should regularly observe the following guidelines:

- Faculty appointments must favor the academic interests of the University in fulfillment of its institutional mission. Accordingly, decisions on the availability of faculty positions must respond to academic needs and opportunities, well as financial viability, pursuant to the school's development plan.
- Faculty appointments must begin with a review of the candidate's academic, professional and human qualifications, as well as interest and willingness to assume the responsibilities set forth in the Chapter IV. The appointment process must clearly determine suitability of the candidate's profile to meet the needs expressed in the school's development plan. The salary offered must adhere to the ranks established by the University.

A. Selection and Appointment

The faculty appointment process must begin with the dean's authorization.

The department's council (or school council, in schools lacking departments) will designate an *ad hoc* committee for selecting new faculty, preferably comprised of associate (level 3) and full professors, acting as an advisory body to the department chair and dean.

The school may employ such selection mechanisms for new faculty as deemed appropriate. However, the following rules must be observed:

- Recruitment must be widely announced in the domestic and international academic community, to ensure access to the best candidates.
- During the selection process, candidates must make academic contact with faculty and students, by means of classes, lectures or seminars in their field of study. The *ad hoc* selection committee must attend to these activities.

- The *ad hoc* committee must draft a written concept on the convenience or inconvenience of hiring the candidate, based on his or her curriculum vitae, presentations during the process, and any other information deemed pertinent. Although this concept is not binding, the dean and the academic vice president must regard it as a relevant factor in the hiring decision.
- The job offer made to a candidate must adhere to the range established by the Office of the President and specify the rank to which the new faculty member will be appointed.
- The dean may or may not recommend the new appointment. If recommended, a written concept will be submitted to the academic vice president for approval, justifying his decision and describing the recruitment process in detail. The academic vice president may or not accept the dean's recommendation. The academic vice president is responsible for the final faculty appointment.

B. Orientation of New Faculty

The Office of the Academic Vice President, the Office of the Research Vice President and the Department of Human Management and Organizational Development, together with the schools, are responsible for organizing and implementing the University's new faculty orientation program, pursuant to the following objectives, among others deemed pertinent:

- Acquaint the faculty member with responsibilities and how they are assessed.
- Hand out information on the University's Handbook and regulations.
- Acquaint the new faculty member with internal and external financing mechanisms for his or her academic projects.
- Acquaint the faculty member with teaching development activities available to new faculty.

- Provide information on the library system and technological support available for teaching.
- Introduce the faculty member to the University's faculty-information system.
- Describe the Faculty Counseling and Support Program offered by each of the schools (see section VI.G).

C. Leave of Absence and Reappointment

Full-time faculty may request leaves of absence from the University to hold posts in the public or private sector. In that case, they must resign from the University to avoid conflicts of interest. The University may deem it desirable that they return to the institution once their post is completed without undergoing established selection procedures. Reappointment is subject to approval by the dean and academic vice president.

CHAPTER IV FACULTY RESPONSIBILITIES

Faculty member responsibilities pertain to three ambits: teaching, academic output and contribution to institutional development. The faculty ranking may be understood as a progression of achievements related to responsibilities described below, which must be regulated by each school.

A. Direct Teaching

Direct teaching is the (in class or virtual) work with the students, course design, class preparation, student assessment, counseling related to courses or programs, and reflection on teaching practice.

Faculty teaching loads may range from four to six courses per year, with a minimum of twelve credits during this period. Teaching loads will be submitted to the dean's approval, together with a rationale. Any exception to the above range must be approved by the dean and reported to the academic vice president.

The University's obligation is to offer quality teaching. Accordingly, minimum teaching-quality standards must be established. Faculty members performing below established standards must seek support to improve performance. Sections VI.C and VI.G describe faculty assessment and support mechanisms.

B. Academic Output

Given that the University spans diverse disciplines and professional fields, the faculty's academic output is similarly varied; such output must enrich their academic life. The kinds of academic output must reflect several approaches for developing faculty as individuals, and yet contribute to the institution's overall dynamics.

The various kinds of academic output feature different paths of development, recognition and impact. The schools must effectively acknowledge these activities, value them in terms of quality, quantity, pertinence and impact for academic recognition. How each school will value so varied a range of outputs must be clearly specified in the respective Faculty Handbook.

1. Producing, applying and integrating knowledge

The reason for being of academic research in most disciplines or professional fields may be described as expanding the frontier of knowledge, the articulation of integration and synthesis that strengthen the field's body of knowledge, and the development of applications in diverse contexts.

The various disciplines tend to view the production, application and integration of knowledge in different ways. The schools will acknowledge such outputs from the

standpoint of pertinence, impact and academic quality within each discipline. Criteria for assessing such valuations must be included in each school's Faculty Handbook.

2. Creation

Faculty members may submit creative output as a factor for their assessment when their individual creative activity is closely linked to their work at the University and is fundamental to their permanence. The outcomes of creative processes will be judged in accord with standard practices, modes of expression and means of placement of the creative faculty member's output. The external recognition granted to such works will be essential for their evaluation by the University. Accordingly, a minimum condition for acceptance of such works must be public presentation in appropriate media, scenarios or locations.

3. Innovation

Developing a culture and capacity for innovation, based on the application of disciplinary and interdisciplinary knowledge to generate value, is the underlying purpose of this category of academic output.

4. Entrepreneurship

This academic output category seeks to acknowledge efforts to develop an entrepreneurial culture that fosters attitudes and abilities to undertake new projects in support of a given setting and its community.

5. Teaching Research, Development and Innovation

The University acknowledges research aimed at improving the quality and effectiveness of teaching as a kind of academic output in any unit. Activities related to the development and innovation of teaching practices must abide by the standards and rigor of academic research.

6. Thesis and Graduation Project Advisement

Advisement and supervision of theses and graduation projects in doctoral, master, and undergraduate programs are an integral part of the faculty's academic work; they are also a special kind of teaching. These duties, however, do not replace direct teaching responsibilities as set forth in these Handbook.

C. Institutional Development

The University's institutional development is a joint responsibility of faculty, academic officers and the central administration, as well as all administrative staff. Broadly, institutional development features two ambits of action: internal and external.

1. Internal ambit

Includes developmental activities undertaken in the University, pursuant to the needs of the academic community and school development plans:

- Contributions to development of the academic unit by taking part in the school's diverse collegiate bodies, such as school or departmental councils, faculty assessment or promotion committees, curriculum or program committees, task forces related to national or international accreditation processes, publication committees, among others. Some of these activities will be compulsory for the faculty, in accord with the school's governance and administrative structure.
- Leadership and management in developing new programs or disciplinary or interdisciplinary research groups.
- Participation in the University's academic development activities.
- Engagement in University innovation, updating or transformation projects aimed at improving the quality and pertinence of the educational service, research and specialized consulting.

2. External ambit

Includes activities that foster the University's closeness and cooperation with the public or private, domestic or international external sector:

- Contributing to the implementation of entrepreneurial and innovative processes aimed at solving business, government or societal challenges.
- Engaging in the creation of firms chiefly aimed at applying research findings to the setting's challenges and opportunities.
- Leading and managing academic or professional events, and reaching accords and partnerships for the University's academic benefit.
- Engaging, on behalf of the University, in applied research or specialized consulting projects.
- Leading internationalization processes in teaching, extension and research.
- Leading and participating in continuing education projects.
- Representing the University and the school in academic, institutional, professional, trade or business groups in the country or abroad.
- Fundraising for academic or research purposes, or to support institutional programs (student or faculty fellowships, research centers, laboratories and publications, among others).

CHAPTER V

FACULTY RANKING

Faculty ranking establishes categories consistent with a faculty member's merit in the fulfillment of diverse responsibilities described in the Chapter IV. The University distinguishes several kinds of faculty based on their dedication and responsibilities. Faculty ranking relates to full-time faculty and those with a half time or higher commitment. Faculty-ranking provisions, and the obligations and benefits of full-time faculty will not apply to the faculty pertaining to the special categories foreseen in Chapter VIII.

Faculty ranking categories span:

- Assistant professor.
- Associate professor.
- Full professor.

Definitions of faculty categories are broad enough to be valid across the University; but promotion processes must be tailored to the features of each school, and reflect specificities of the various disciplines. The schools must depict categories in their respective Faculty Handbook without overlooking the general spirit of definitions herein presented, in accord with criteria relevant to their disciplines, teaching and research methodologies, and ways for participating in institutional development.

A. Assistant Professor

Is a faculty member who has reached the level of scholarship adequate to ascend in faculty ranking. An assistant professor must progress to associate professor within a maximum period of six years; otherwise, he or she may not remain as full-time faculty. Maternity leave will be discounted from the maximum period.

B. Associate Professor

It is a faculty member who has demonstrated, through his or her work, a satisfactory teaching level, the ability to maintain autonomous, high quality academic output, and contributed to the academic development of their unit or the University.

C. Full Professor

Is a faculty member who has demonstrated a remarkably high teaching quality, earning national and international recognition for excellence in academic output. He or she must have made an outstanding contribution to educating students in terms of academic output and thesis supervision at the graduate level or undergraduate graduation projects, and displayed leadership and initiative in contributing to the University's institutional development.

D. Release from Faculty Ranking

A full-time faculty member who takes an administrative post in the University may give up his faculty status voluntarily, and its corresponding rank.

CHAPTER VI TRIENNIAL ASSESSMENT

Triennial assessment aims to provide faculty members follow-up recognition and stimulus while they remain in successive sub-categories of a given category or beyond, as in the case of level 3 full-time professors. These assessments take place every three years, and are mandatory but not simultaneous for those included in the faculty ranking. The assessment procedure takes into account the faculty member's progress in responsibilities listed and explained in sections IV.A, IV.B and IV.C of these Handbook: direct teaching, academic output and institutional development. The outcomes of triennial assessments should affect the faculty member's compensation and full-time status at the University.

An integral part of triennial assessment is the faculty support system that provides information and counsel on responsibilities assessed triennially and on promotion. Section VI.G describes the support system.

A. Subcategories

The triennial assessment classifies each full-time faculty category in successive subcategories, as described below:

- Assistant professor: Two subcategories: assistant 1 and assistant 2. The assistant 1 subcategory begins when the faculty member is hired at that level or is promoted to the assistant professor category.
- Associate professor: Three subcategories: associate 1, associate 2, and associate 3. The associate 1 subcategory begins with promotion to the associate professor category.
- Full professor: Three subcategories: full 1, full 2, and full 3. The full 1 subcategory begins with promotion to full professor.

Following are general considerations on the system of subcategories:

- Triennial assessments are either “passed / not passed.” If a faculty member passes the assessment, he or she is promoted to the following subcategory. Triennial assessments continue upon reaching the last subcategory, as well as the possibility of promotion to the next category.
- Advancement from one subcategory to another should be reflected in higher compensation. The University’s Office of the President determines the overall structure for salary increases, including validity periods and amounts for raises.
- A faculty member may apply for promotion to the next ranking category from any subcategory. Holding the last subcategory does not imply automatic promotion within the ranking.

- A faculty member's triennial assessment may be scheduled earlier, together with respective outcomes, at the discretion of the Dean.
- The schools must describe the subcategories of assistant, associate and full professors in their Faculty Handbook, in accord with parameters established by the University.

B. Triennial Assessment Committee

Triennial assessments take place in school departments, where applicable, or at the level of dean or director. In the latter instance, it will be assumed that the academic unit may be divided into academic areas with their respective faculty.

- In schools with departments, the council or department will appoint a triennial assessment committee comprised as follows: two full or associate professors, elected by direct vote of department faculty; one associate or full professor, appointed by the dean; one member of the School Faculty Ranking Committee to which the department belongs, selected by direct vote of the department's faculty; and the department director, who will chair the committee.
- In schools without departments, the committee will include two full or associate professors, selected by direct vote of the school's faculty; one associate or full professor designated by the dean; one member of the school's Faculty Ranking Committee, selected by direct faculty vote, and the dean, who will chair.
- Sections VI.C and VI.D specify the functions of the assessment committees.

C. Direct Teaching Component

The assessment of direct teaching aims at improving teaching practice. Such assessments feature two components:

1. Assessment by Students

Student perception of a faculty member's teaching in each course is undertaken, for all University courses, by means of an online questionnaire completed anonymously. Data compiled by the Directorship of Admissions and Records will be made public. This assessment mechanism may be supplemented by other means, as approved by the Office of the Academic Vice President.

2. Teaching Assessment

Student assessments aim is to obtain a deeper and more detailed reading of faculty member teaching. The latter's starting point is the faculty member's self-evaluation, featuring a brief report of his or her educational goals, achievements and difficulties related to class and activity planning and preparation, the learning experience, the teaching and learning dynamics sought; how student learning is assessed and reflections on teaching practices employed.

To evaluate faculty teaching, the Office of the Academic Vice President will determine a minimum University-wide outcome for students' assessments. Should performance fall below such minimal institutional standards, a second stage follows, in order to assess teaching practice.

Satisfactory teaching is recorded for faculty members who obtain student assessments above the minimum established by the University, and are considered relevant at the time of promotion (sections VII.B.2, VII.B.3, and VII.B.4).

When it is convenient to gauge a faculty member's teaching the school's dean may request a teaching assessment. The outcome of this evaluation may be considered in reaching final triennial-assessment decisions.

Departments or academic areas in schools lacking departments must prepare a report on faculty members reaching the teaching practice assessment stage, by means of the committee described in the section VI.B. That report will contain:

- The outcome of student assessments.
- The faculty member's self-evaluation.

- A description of teaching practice, based on the respective evaluation.
- A list of recommendations for drafting a plan of action aimed at improving the teaching of the faculty member concerned.
- A favorable outcome of the above evaluation may lead to deeming a faculty member's teaching as satisfactory, notwithstanding student assessments preceding the detailed teaching practice review.

Assessment of the teaching practice component is specific to each discipline, and varies depending on course levels. How classes are developed, what instructional materials and support are employed and how students are assessed, may vary considerably from one school to another, or one department or academic area to another. Accordingly, teaching assessment protocols must be designed independently by each school, and fully detailed in the Faculty Handbook. Such protocols must render an account of faculty member performance, pursuant to the mission of the University and the objectives of the school and department, as respects at least four components of direct teaching:

- Planning and preparation of activities.
- Creation of learning environments.
- Teaching and learning dynamics.
- Reflection on teaching practice.

D. Academic Output Component

The triennial assessment of academic output contemplates one or more kinds of products, described in section B of the chapter on faculty responsibilities. Products may be quite diverse: books and book chapters, articles in scholarly journals, various kinds of artistic, journalistic, architectural or design and patents, among others. Each school's Faculty Handbook must clearly stipulate criteria to assess the quality of output deemed pertinent to the school's academic nature. These outputs must be subject to peer review,

and must respond to recognition standards employed by their respective national and international academic or professional communities.

Triennial assessment will review finished products; nonetheless, as warranted by conditions of a discipline or area, progress made within the period will be considered by means of a portfolio presented by the faculty member. When dealing with advances, information presented for review must be specially detailed.

The committee described in section VI.B will examine the faculty member's academic output, and draft a report containing the following information:

- Relative progress made with respect to previous triennial assessments or promotions.
- An assessment of the quality and academic impact of the outputs or advances presented.
- A progress plan recommended for the following three years.

E. Institutional Development Component

Assessment of institutional development is based on the description that the faculty member provides detailing contributions to his or her unit or the University. Section IV.C outlines several ways to contribute to institutional development. The faculty member must include them in the account, specifying personal inputs in each case.

F. Assessing Triennial Progress

One of the objectives of triennial assessment is to determine the promotion of a professor to the following subcategory (see section VI.A). This decision must be based on the teaching, academic output and institutional development reports prepared by the assessment committee, and communicated by the dean, addressed to the faculty member concerned. Final decisions correspond to the dean. However, the faculty member may request the School Council to review triennial assessment decisions.

G. Faculty Counseling and Support Program

The schools and centers will establish and implement a program by which the most experienced faculty may offer guidance or counsel to new faculty members. The main purpose of this Counseling and Support Program is to ensure success of faculty member academic careers, particularly in achieving the conditions necessary for promotion to associate professor.

To achieve this aim, the program should provide the faculty counselor access to information needed to:

- Analyze teaching records pertaining to the faculty member requesting support (student questionnaires and teaching assessments, if available), in order to propose an improvement plan. This analysis stems from triennial assessment, but any faculty member may request it.
- Review the status of a faculty member's academic output in order to point out portfolio strengths and weaknesses vis-à-vis future promotion.
- Examine, together with the faculty member requesting support, any other aspects of his university life that may hinder career progress.

To fulfill the above, the University's faculty information system must keep a record of student surveys, with historical and comparative analyses useful to counselors and faculty. Also, the information system must include historical records of any teaching practice assessments, and a structured account of the faculty's academic output, both for those who are successful and for others facing triennial assessment or promotion difficulties. These records must safeguard anonymity and confidentiality.

Counseling faculty participation in the program's activities is entirely voluntary.

Recommendations or actions derived from counseling do not bind the school in its triennial assessment or promotion decisions.

CHAPTER VII PROMOTION

Promotion is the process by which a faculty member ascends to the following category of ranking, in light of achievements in the three areas or responsibility described in Chapter IV. For promotion purposes, no area of responsibility may be overlooked on the grounds of accomplishments in other areas. Minimum performance required for each area must be defined in each school's Faculty Handbook.

The schools of Universidad de los Andes may validate the faculty category that a faculty member may have reached at another academic institution; this may be undertaken at their discretion, based on their own criteria, and approved by the Office of the Academic Vice President.

A. Information Required for Review of Promotion Applications

Faculty ranking committees described in section VII.B are responsible for promotion processes, and must ensure that a faculty member who applies for promotion satisfies requirements established herein. Following is the information that every faculty member must submit. The schools may request additional information based on their own standards, as specified in their Faculty Handbook.

1. Information provided by the University

- A list of undergraduate and graduate courses taught, together with student assessments.
- Teaching reports of two previous triennial assessments (see section VI.C), or of the last triennium for professors who have undergone only one assessment.

2. Information to be provided by the Faculty member

- Academic output: books, book chapters, articles in scholarly journals, academic dissemination materials, together with their respective bibliographical references, citations and impact indicators. This information must be compared with faculty information system records.
- Evidence of teaching research, development and innovation.
- When appropriate, attainment or transfer of patents, entrepreneurial ventures based on work undertaken at the University, technological or other innovations related to community or social management.
- Works of art, journalism, architectural or design products.
- A list of students supervised for doctoral, master's theses or graduation projects, with the respective bibliographical references. This list may be supplemented with an account of the professional career of the master's or doctoral students supervised by the faculty member.
- Awards or academic distinctions.
- Memberships in professional or academic societies.
- Participation as an editor, compiler or referee in academic or professional journals.
- An account of contributions to the institutional development of their unit or the University.
- Fund-raising for academic projects such as research, consulting or continuing education.
- Final assessment of Assistant Professor Support Fund (FAPA) outcomes by an external peer, pursuant to policies established by the Office of the Research Vice President.

- Participation in continuing education projects.
- Participation in applied research or specialized consulting projects with companies, public agencies, social or other external organizations.
- Academic efforts to strengthen interdisciplinary teaching and research.

3. External Assessment Letters

A minimum of two letters from academic peers external to the University must be presented, assessing the impact and quality of the faculty member's academic output. The dean will select those peers for promotion to assistant and associate professor. For promotion to full professor, the Academic Vice President and the dean will select peers. The dean is responsible for requesting and receiving these letters. Before requesting those letters, the faculty member concerned may suggest other external peers or veto those already selected. The dean will accept any vetoes, but need not follow the faculty member's suggestions.

4. COF Assessment

For promotion to full professor, the interested professor must submit a request for assessment of his or her application by COF, attaching the information set out in this chapter. This assessment must include the candidate's strengths and weaknesses. The professor will not be required to provide letters of recommendation from external peers as part of his or her application; these will be considered by the COU in accordance with VII.A.3. The COF will have thirty (30) working days from the professor's request to draft the assessment. If the concept is not processed within the established period, the professor may present his or her application directly to the COU. Professors may request the COF to provide a second assessment should they so choose.

B. Faculty Ranking and Promotion Committees

1. Composition of the Faculty Ranking Committees

The University's faculty ranking committees will review applications for promotion. At a central level, the Office of the Academic Vice President will appoint two committees: The External Peer Committee and the University Faculty Ranking Committee. Moreover, each school must designate a Faculty Ranking Committee (COF).

a. External Peer Committee (CPE)

The school faculty ranking committees [COF] and the Ranking Committee of the University [COU] must always include external peers. An external school peer is a full professor from any other school elected by the COF for terms of three years, with possible reelection for the following term. Together, all external peers comprise the External Peer Committee (CPE), responsible for reviewing applications for promotion to full professor, and for appeals related to COF decisions.

b. Composition of the COU

The academic vice president, based on consultations deemed pertinent, will appoint the Faculty Ranking Committee of the University [COU] when an application is filed for promotion to the full professor. The composition of the COU will respond to the specificities of cases under review. Its members are:

- The academic vice president, who will chair it.
- The research and creation vice president.
- Four members of the External Peer Committee (CPE) (see section VII, B.1.a).
- Two additional peers knowledgeable about the respective faculty member's work, chosen by the academic vice president and the school dean. One of the peers may be external to the University.
- If the faculty member works for more than one academic unit, the academic vice president and the respective deans will select the additional peers.

c. Composition of the COF

The Faculty Ranking Committees of the Schools (COF) review applications for ranking and promotion to assistant and associate professor and to study and issue a recommendation for professors' applications to the COU. In this case, it is necessary to distinguish between schools that include departments and those lacking them. COF members include:

- The dean of the school, who will chair.
- At least two faculty members elected under the faculty's direct vote for terms of three years. They must be either full or associate professors 3.
- A peer external to the school.
- A full or associate professor 3, selected by the dean and familiar with the work-area of the faculty member assessed (who may be external to the University).
- The number of members must be odd.

2. Promotion Criteria

Responsibilities to be assessed for promotion purposes are described in Chapter IV. The following criteria commonly apply to promotion processes:

- Teaching: the faculty member must have a satisfactory teaching assessment during the preceding triennium (see section VI.C) as a condition for promotion. If an application for promotion has been submitted before the end of a triennial period, the faculty member must have a satisfactory teaching assessment during the period following his or her last triennial assessment. Student-advisement performance will be regarded as a relevant teaching component. The dean may authorize a teaching assessment for assistant professors applying for promotion before the end of their first triennium.
- Academic output: Given the array of output options noted in Chapter IV, the schools will determine those pertinent to developing their faculty, how the quality

and impact is to be assessed, and the approximate number of products expected for promotion. These specificities must be clearly defined in the schools' Faculty Handbook. Each school will describe the output of faculty members in terms of quality, impact and number of products. The assessment of supervising theses and graduation projects, and other graduation options, must consider that the number of works available for supervision depends on the size of the programs, which varies widely across the University.

- Institutional development: Faculty ranking committees are obligated to assess whether a faculty member's institutional development contributions are relevant to the promotion process. Exceptional contributions may be a determinant factor for promotion.

3. Promotion to Assistant and Associate Professor

The school's Faculty Ranking Committees is responsible for these promotions.

a. Promotion Procedures

Applications for promotion may be submitted at any time of the year. COF make decisions by a simple majority, and appeals for reconsideration apply; beyond this option, appeal may be submitted before the External Peer Committee, CPE (VII.B.1), chaired by the academic vice president. Appeals must be filed within 10 working days following notification of a decision. The COF and CPE must reply within 30 working days, counted from the time the appeal is filed. The dean will draft positive or negative replies to promotion applications, explaining committee decisions. CPE decisions are made by simple majority and are deemed final.

b. Maximum number of years for promotion

Assistant professors have a maximum of six years of academic service to the University, counted from their ranking at this category, to be promoted to the associate level. Beyond this term, if they have not been promoted to associate professors, they can no longer remain as full-time faculty.

c. Record of Decisions

COF must keep a record of cases reviewed, along with promotion or denial decisions. Reasons for a decision remain confidential, but the faculty member concerned is free to access information on their own case.

4. Promotion to Full Professor

Promotion to full professor is a responsibility of the Faculty Ranking Committee of the University (COU). Its composition varies, as explained in section VII.B.1.c.

a. Promotion Procedure

Applications for promotion may be submitted at any time of the year attaching the information set out in this chapter. The COU will take decisions by a simple majority, and an appeal for reconsideration may be filed before the same committee; beyond this option, an appeal may be submitted to the Academic Council. Appeals must be filed within 10 working days following the notification of a decision. The COU and the Academic Council must reply within 30 working days, counted from the time when the appeal is filed. The COU chair will draft positive or negative replies to promotion applications, explaining the committee's decision. The Academic Council will take decisions by a simple majority and are considered final, with no recourse. COU members taking part in a decision that gives rise to an appeal will not participate in the process to review that appeal.

b. Record of Decisions

The Office of the Academic Vice President will record COU cases reviewed, along with promotion or denial decisions. Reasons for the decision will remain confidential, but the faculty member concerned may access information on their own case.

CHAPTER VIII

SPECIAL CATEGORIES

As the University becomes more demanding in its teaching, research and overall academic output goals, it becomes clear that reaching them requires a diversity of profiles that surpasses the three categories of faculty ranking. All the individuals hired under the special categories defined below will be subject to the disciplinary regime described in the Chapter IX. Following are the University's special categories:

A. Special Faculty Profiles

The University features special faculty profiles. Beyond those set forth in these Handbook, the Academic Council may define the specificities of additional categories, particularly to expedite any actions needed within the framework of inter-institutional agreements.

1. Lecturer

a. Appointing Lecturers

Hiring a lecturer must fulfill a clear teaching need of a department or school, in courses or areas not covered adequately by full-time faculty, or where the lecturers, because of their experience and professional background, bring a distinct educational input, different from that available from full-time faculty.

Every school must determine minimum criteria for hiring lecturers. The appointment of lecturers, even at schools with departments, is the dean's responsibility, based on the lecturer's professional and academic credentials as well as previous teaching assessments within the unit concerned, or elsewhere.

b. Responsibilities of Lecturers

A lecturer's responsibility centers on teaching courses to which they are appointed for a given academic semester, and the corresponding weekly workload. These teaching activities must comply with faculty duties derived from rules relating to student services established by the University.

- Lecturers will set aside at least one hour per week, in addition to regular class hours, for student consultations on matters related to courses under their responsibility. The academic unit will provide facilities where such consultation can be adequately undertaken.
- Lecturers will not be assigned course loads exceeding nine credits per semester, or their equivalent in teaching hours for courses without credits, except as authorized by the Office of the Academic Vice President.
- Lecturers may be invited occasionally or regularly, as their time permits, to meetings, departmental or school committees or councils where their participation is considered suitable for the design, monitoring, assessment and implementation of academic programs.
- Lecturers may supervise graduation projects or theses within their areas of expertise. However, full-time faculty should serve as co-supervisors to enable students may fulfill the graduation requirements of their academic programs.
- Lecturers may participate in University consulting or research projects undertaken together with external organizations, provided a full-time faculty member is project co-executor, as approved by the dean.

C. Semiannual Assessment, Permanence and Remuneration

Teaching by lecturers will be assessed in a way that ensures quality levels comparable to those of the faculty within the ranking (see section VI.C). The schools will design an assessment tool that encompasses the following:

- Planning and preparation of activities.
- Creation of learning environments.
- Teaching and learning dynamics.

- Student assessment.
- Reflections for enriching teaching practice.

The schools should establish a scale of remuneration for lecturers based on their qualifications, length of appointment and professional background. These terms must be approved by the Office of the President of the University pursuant to the corresponding University policies.

Incentives and strategies to enhance lecturer performance, commitment and wellbeing must be designed and implemented by the schools. This includes promotion by means of remuneration approved by the University's Office of the President.

2. Specialist Professor

Certain professional fields require teaching at a given level by full-time practitioners. Specialist professors meet the following requirements:

- The University appoints specialists to teach based on professional experience.
- Their key responsibility is teaching areas of their professional expertise.
- The school's *ad hoc* selection committee reviews the specialist's vitae prior to appointment, and drafts a recommendation for approval by the dean.
- Their time commitment to the University should not exceed half time.
- Their contract is for one year, renewable as determined by the dean.
- Specialist professors are ranked as assistant specialist professor, associate specialist professor, and full specialist professor, based on their professional qualifications and the quality of their teaching.
- The school is responsible for the above ranking of specialist professors. The academic vice president will approve promotion regulations.

- Specialist professors are governed by rules contained in the school's Faculty Handbook. Each school must establish criteria for contract renewal.

3. Full-time Teacher

In certain of the University's academic areas, large teaching needs at basic levels must be attended. In such cases it may be convenient to hire full-time staff for direct teaching. Such staff should meet the following standards:

- Appointment of full-time teachers will comply with selection procedures applicable to full-time faculty.
- Teaching loads will be higher than those of full-time faculty.
- Rankings include assistant teacher, associate teacher, and full teacher. Schools employing full-time teachers will stipulate promotion regulations within this ranking, subject to approval by the academic vice president.
- Promotion of full-time teachers will depend on the quality of their direct teaching, and on other research, development or innovation activities that enrich teaching practice.
- Compensation will depend upon their ranking level, pursuant to the school's procedures, as approved by the academic vice president.
- A full-time faculty member may request to be ranked as a full-time teacher, in which case he or she will be governed by rules applicable to the new ranking. The dean and academic vice president will approve re-ranking, upon the recommendation of the selection committee.
- A full-time teacher may become a faculty member only after undergoing the selection procedures stipulated for new faculty at the respective school. Once appointed, activities will be governed by the faculty ranking.

4. Distinguished Practitioner

Schools may appoint, for fixed terms, distinguished practitioners with a history of relevant contributions to the development of their field. Distinguished practitioners may support their academic units in several ways, among others by teaching areas where their expertise is significant, taking part in institutional-development endeavors, advising research groups, and building relationships with external organizations.

- A school's *ad hoc* selection committee reviews vitae of distinguished practitioners prior to selection. The committee drafts a recommendation for approval by the dean.
- Distinguished practitioners may be appointed for one-year, renewable contracts. Each school must determine renewal criteria.
- The academic vice president must approve any extensions.
- The dean determines the compensation of distinguished practitioners, as approved by the University President. Compensation must be consistent with full-time faculty salaries.

5. Instructor

An instructor is a full-time professional who has yet to complete academic qualifications required for faculty ranking. Instructors must not serve more than three years at the University. An instructor's responsibilities are chiefly teaching and providing assistance to their unit's academic projects. The school's Faculty Handbook will stipulate the hiring and assessment procedures for instructors.

B. Special Research Profiles

1. Associate Researcher

Maintaining adequate academic output in certain fields may require hiring trained researchers on a full-time basis, under conditions differing from those applying to full-time faculty or graduate students.

Appointment of researchers must fulfill the following guidelines:

- Hiring and remuneration of an associate researcher are contingent upon the existence of a research project with external funding that covers contract costs.
- The dean determines the hiring and release of associate researchers.

C. Pensioned and Retired Faculty

Pension age is that when an employee becomes eligible to receive a pension. Retirement age is that when a professor agrees to retire from the University's full-time faculty. These two ages –pension and retirement— do not necessarily coincide.

Retirement age at Universidad de los Andes is 65 years. Beyond this age, by exception, the dean, with the approval of the University President, may offer a faculty member the following options:

- To serve as lecturer under semiannual contracts.
- To serve full-time or part-time under renewable annual contracts, as decided by the dean and approved by the academic vice president. Faculty under this option and ongoing contracts must submit a plan of activities for up to three years, with annual contract renewals based on the needs of the school and development of the agreed activities.
- The new contract implies a different compensation, as determined by the dean and the University President.

Under this category, faculty members will retain the faculty rank held at retirement. Compensation will remain consistent with their rank and time commitment.

D. Emeritus Professor

The University may designate as professor emeritus, a retired faculty member who, throughout his career at the institution, excelled in teaching, academic output, and contribution to the institution. Emeriti faculty will agree with the dean the time commitment and purposes of their contracts.

- Any faculty member may nominate a colleague as an emeritus professor before the nominee's School Council, which may dismiss the nomination or approve it in first instance. However, final approval corresponds to the Academic Council, based on the school's duly substantiated request. The Academic Council may use other information it deems pertinent in reviewing the nomination.
- Eligible faculty must have served full-time at the University for at least 20 years.
- The number of emeriti professors under age 75 will not exceed 20% of the University's full professors.
- The President of the University will determine the salary of emeriti faculty.

E. Honorary Professor

The University may confer the rank of honorary professor on individuals who, through their academic or other work have contributed outstandingly to the fulfillment of the University's institutional mission.

- The dean must submit nominations for honorary faculty to the University Academic Council, which will appoint a commission to review the nomination and issue a recommendation to the Council.
- The Academic Council makes the final decision appointing an honorary professor.
- The rank of honorary professor does not imply a work relationship with the University, nor does it entail compensation.

- Honorary faculty members will be issued University identification, and free access to the campus, library, and information resources available to University employees.

F. Visiting Professors, Postdoctoral Assistants and Adjunct Professors

Faculty exchange with other higher education institutions or research centers is highly desired by the University, given academic development efforts, research growth, and enhanced relationships with national and international communities. Accordingly, the University encourages the presence of visiting professors and postdoctoral assistants who may contribute to the institution's academic development.

The dean must approve the presence of visiting professors or postdoctoral assistants. The dean or his delegate (a department director) will determine their teaching workload, academic output requirements, and institutional-development contributions. Moreover, the dean will decide the duration of stays for visiting faculty and post-doctoral assistants, insofar as they do not center career development at the University.

Adjunct professors maintain a close relationship with the University and collaborate in teaching and other academic activities. They may or may not have a work contract with the University, and are designated following nomination by a school dean, as approved by the University President.

CHAPTER IX DISCIPLINARY RULES

Beyond the fulfillment of duties set forth herein, the status of a professor and his work relationship with the University imply ongoing respect for the institution's regulations, those established by Work Rules, and the individual's contract.

The disregard of established regulations may result in disciplinary actions, enforced by means that ensure due process, under terms provided by these Handbook and the University's internal rules.

Disciplinary offenses of professors may be of two types: those dealing with academic practice, and those related to the employment relationship, unrelated to academic duties. These Handbook refer only to the former. The latter will be subject to the University's disciplinary schemes for all employees established in the Work Rules.

A. Disciplinary Offenses Related to Academic Practice

For purposes of these Handbook, disciplinary offenses related to academic practice are:

1. Hindering the normal development of the University's academic activities.
2. Affecting negatively the University's good name or using it inappropriately.
3. Incurring in ethical misconduct in academic practice.
4. Violating the rights and dignity of students.
5. Breaching provisions of academic rules concerning student rights stipulated in student regulations.
6. Disrupting harmony between members of the University community.
7. Disregarding rules concerning conflict of interest, as noted in Chapter XI.
8. Acting negligently in the fulfillment of faculty duties and responsibilities.

B. Start of the Disciplinary Process

All members of the University community must inform of faculty actions deemed contrary to the provisions and duties set forth in these Handbook, attaching available evidence considered necessary to substantiate the claim.

Authorities mentioned below will undertake disciplinary processes involving the faculty. Each will determine whether the behavior that motivated the complaint is of their competence. Otherwise, the case is forwarded to the following disciplinary authority.

- Dean (of the school to which the faculty member belongs).
- Office of the Academic Vice President.
- Academic Council.

The claimant may also bring the case to the Office of the Ombudsperson or to the Committee for Work Harmony. These bodies will respect the disciplinary regulations herein described, acting under their own rules and competences.

When the faculty member involved is the dean, the case may be brought to the Office of the Academic Vice President, or to the aforementioned authorities. If the person involved is a vice president those authorities apply.

C. Discretionary Process

Parties concerned may at any time request a discretionary process relating to offenses prejudicing harmony between members of the University community, either on their own initiative or by referral to any of the disciplinary authorities herein acknowledged, with the consent of those involved. The process will seek that all parties present their version of the facts, discuss the behavior that led to the claim, and agree on redress. The aforementioned disciplinary authorities or the Office of the Ombudsperson, or the University's Committee for Work Harmony, may coordinate the process, as considered appropriate or decided by the parties concerned. Each body will abide by their respective internal guidelines in reviewing issues under their competence.

D. Preliminary Assessment of the Offense

Instances that are not ruled by discretionary means are herein labeled regular disciplinary processes. In these instances, the dean and the academic vice president, together and based on the claimant's written accusation, will undertake an initial assessment of the offense in the following terms:

- Link the offense to the professor's academic practice, whereupon a review by academic authorities is in order. Otherwise, the case is forwarded to the Human Management and Organizational Development Directorship.
- Based on the accusation, an initial assessment is undertaken of the seriousness of the offense. The schools may decide on minor and moderate offenses. The Office of the Academic Vice President will handle those considered serious or very serious. The initial assessment of an offense may change based on any information emerging during the investigation.

Criteria to determine the seriousness of an offense (minor, moderate, serious or very serious) include:

- The degree of impact upon University services.
- Damages to third parties.
- Circumstances of the actions.
- Direct performance of the offense, or collaboration with it.
- Greater or lesser degree of behavior, based on the personal circumstances of the faculty member.
- Time serving the institution.

E. Regular Disciplinary Process for Minor and Moderate Offenses

When the academic vice president and the dean initially deem that the reported offense is minor or moderate, the dean will submit the case to the School Council; this body will decide whether there is enough ground to begin a disciplinary process, based on pertinent information presented. If the case is closed, the Council will inform the claimant in writing, explaining reasons why the process was not undertaken.

Should the School Council find grounds to begin a disciplinary process, it will appoint a four-member *ad hoc* committee. Two members will be Council members, and the remaining two faculty members of the unit, invited by the dean. The *ad hoc* committee will draft a document, to be shared with the defendant, with the following content:

- Summary of the facts.
- Consonance of the facts with a disciplinary offense described in the Handbook.
- Documents that substantiate the claim.

Within a term of eight working days, counted as of the time when notice is given, the faculty member concerned will draft a plea, presenting his or her version of the facts and adding any information deemed pertinent.

Once the faculty member's plea is received, the committee may gather any documents, testimonials and other pertinent information. Within 20 working days, counted from the professor's submission of his plea, the committee will issue a concept to the School Council recommending a sanction or an acquittal.

The School Council, chaired by the dean, will review the report and impose a sanction, based on the seriousness of the offense and the principle of proportionality.

The School Council is empowered to impose a sanction only when it deems that an offense is minor or moderate. Should the offense be deemed serious or very serious, the case will be referred to the Office of the Academic Vice President.

School councils may impose the following sanctions:

- A warning from the dean.

- A written admonition, not recorded in the faculty member's file.

School Council decisions may be subject to appeal before the same Council, or a motion for appeal filed before the Academic Council. These recourses will be submitted and substantiated in writing within five working days following notification of the decision. Pertinent authorities will have 20 working days to reply, counted from reception of the recourse.

F. Regular Disciplinary Process for Serious or Very Serious Offenses

When the academic vice president and the dean initially deem that the reported offense is serious or very serious, the academic vice president will appoint an *ad hoc* committee to review the case. That committee will include the academic vice president, the dean of the school to which the defendant faculty member belongs, another dean, one professor chosen by the academic vice president, and one professor chosen by the defendant.

The *ad hoc* committee may decide to close the case, whereupon the decision will be transmitted in writing to the claimant, explaining why it was not deemed appropriate to carry out a process.

The *ad hoc* committee will draft a document, which will be known by the defendant faculty member, with the following contents:

- Summary of the facts.
- Consonance of the facts with a disciplinary offense described in the Handbook.
- Documents that substantiate the claim.

Within a term of eight working days, counted as of the time when notice is transmitted, the faculty member will draft a plea, providing his or her version of the facts, and adding any information deemed pertinent.

Once the faculty member's plea is received, the committee may gather additional documents, testimonials or other pertinent information. And within a term of 20 working days, counted from submission of the plea, the committee will issue a concept to the Academic Council recommending a sanction or an acquittal.

The Academic Council, chaired by the University President, will review the report and impose the pertinent sanction, based on the seriousness of the offense and the principle of proportionality. The President will enforce any dismissal decisions.

The Academic Council may impose the following sanctions:

- A warning from the academic vice president for minor offenses.
- A written admonition for minor offenses.
- An admonition that may or may not be recorded in the professor's file, for moderate offenses.
- Suspension of up to eight days for a first offense, and up to two months for subsequent offenses.
- Dismissal for very serious offenses.

Decisions of the Academic Council may be appealed before the same Council. This recourse will be submitted and substantiated in writing within the five working days following notification of the decision. The Academic Council will have 20 working days to reply, counted from reception of the recourse.

CHAPTER X

DISMISSAL CAUSED BY ACADEMIC REASONS

The University follows three different processes for dismissals caused by academic reasons: one applies to assistant professors in their first triennium; another to promotion of assistant professors; and a third, of general nature, may be applied to faculty of any rank.

A. First Triennium of Assistant Professors

The first years of a faculty member at Universidad de los Andes are crucial, for during this period he or she may assess whether the University offers an adequate environment for career development. Likewise, the institution may determine whether the faculty member meets its requirements. If not, from either party's point of view there is no justification for extending a contract to a sixth year, when promotion assessment would take place,

Accordingly, these Handbook grant the dean the possibility of terminating a faculty member's contract based on first triennium experience; to do so, an *ad hoc* committee, including members of the committee which helped select the professor, must prepare a concept for approval by the academic vice president.

B. Dismissal Caused by Non-Promotion of Assistant Professors

Assistant professors must get a promotion to the associate rank within a maximum of six years. If they fail to get that promotion because of poor assessment of their various responsibilities, they will be dismissed from the faculty (see sections V.A and V.B).

After a faculty member's first year, contract renewal will require the concept of an *ad hoc* committee, which will include at least two members of the committee that helped select the faculty member. It will also include their faculty counselors, if any. Based on that concept, the dean may recommend non-renewal.

C. Dismissal Caused by Academic Reasons for Any Rank

The consistently inadequate performance of a faculty member of any rank may cause dismissal from the University. Evidence of such unsatisfactory performance is derived from triennial assessments, and from evaluations of promotion applications, if any.

A consistently unsatisfactory assessment of teaching or academic output, despite University opportunities for improvement, is a cause of dismissal from the institution.

1. Start of the Dismissal Process

The dean may initiate a process of dismissal for academic reasons, based on the faculty member's non-compliance with responsibilities described in Chapter IV, as periodically measured by triennial assessments.

A request for dismissal must be addressed to the academic vice president, who decides whether or not to proceed. If the decision is to open the process, the faculty member will be informed in writing, stating reasons justifying the decision and other information deemed pertinent.

2. *Ad hoc* Permanence Committee

Should the academic vice president open the process, an *ad hoc* committee to review the case is appointed, comprised as follows:

- The academic vice president, as chair.
- The dean of the school to which the faculty member belongs.
- A dean invited by the academic vice president.
- A member of the External Peer Committee (CPE).
- A full or associate professor 3, chosen by the faculty member involved.

3. Dismissal Review

Once the *ad hoc* committee announces the opening of a dismissal process, the faculty member has 10 working days to contest grounds.

The *ad hoc* committee will review the dean's request for dismissal, the academic vice president's preliminary concept, and counter-arguments by the faculty member involved. The committee will have 30 working days, from receiving the faculty member's statement, to either implement the dismissal decision or close the case. All decisions will be communicated to the professor in writing, along with their respective grounds and rationale. Within 10 working days following notification of the decision, the faculty member may submit an appeal for reconsideration before the same committee, or a motion for appeal before the Academic Council. These recourses will be resolved within 20 working days. If the faculty member does not file an appeal within the specified period,

the *ad hoc* committee will forward the case to the University President. All dismissal decisions must have his approval.

CHAPTER XI

CONFLICT OF INTEREST

Fulfillment of the University's mission objectives relies on the ethical integrity of its faculty. Accordingly, regulations set forth in these Handbook will not fully replace the boundaries that professors must set for their actions, in accordance with their responsibilities and obligations to the University, and with the values and principles expected from of a faculty member at Universidad de los Andes.

Full-time faculty members are expected to primarily undertake activities at the University. In general, every attempt to combine University responsibilities with external activities such as consulting or teaching may result in conflict of interest related to managing the institution's time and resources. Faculty members are responsible for avoiding such conflicts, and for informing or asking about circumstances that may cause them.

These Handbook define conflict of interest as any activity or event where the personal or professional interests of a faculty member interfere with duties to the University, or with University interests and purposes as determined in its institutional mission.

Conflicts of interest may be classified as related to:

- A faculty member's professional practice.
- Teaching activities.
- Decisions that a professor takes on behalf of the University.

- Participation in politics.
- Specialized consulting, applied research or business internships.

Disregard of standards set forth in these Handbook with respect to conflict of interest or teaching exclusivity will be deemed as a disciplinary offense and therefore, will be subject to the processes and sanctions prescribed in Chapter IX.

A. Institutional Declaration

The relationship of the University and its full-time faculty with their academic, professional and socioeconomic environment may create situations in which a professor's activities or decisions may be in conflict with the institution's interests. To overcome eventual conflict, the faculty member must render an institutional declaration: explain before University's authorities the events, actions or commitments in which he or she is involved and may cause conflict of interest.

To avoid eventual conflict faculty members are responsible for rendering an institutional declaration every year before their dean. Should a faculty member's circumstances change during that period, they must report it and update the declaration.

B. Conflict of Interest Related to Professional Practice

Universidad de los Andes considers that faculty members have freedom and autonomy to undertake professional activities different from those that they perform for, or on behalf, of the University. Such activities must meet the following standards:

- Not interfere with the adequate performance of a faculty member's responsibilities to the University set forth in these Handbook or the work contract.
- Not compete with activities related to the mission of the University, which are part of the faculty's responsibilities.

- Faculty members must not employ University resources, equipment, confidential information or infrastructure for professional activities that do not compete or interfere with their adequate performance of responsibilities.
- Faculty members must render an institutional declaration of such academic and research programs or projects that may contribute, directly or indirectly, to fulfill their personal professional commitments. In that situation, the dean and University president will approve the performance of those programs or projects in accordance with the interests, development plans, and mission of the University. A full-time professor or teacher may not act as the director of projects that could be developed by Universidad de los Andes, but that were submitted and are managed by another institution.
- Faculty members may employ students enrolled in their courses, or students under their supervision in graduation projects, theses, or other University projects, upon the dean's authorization, for the performance of professional activities unrelated to the University.
- Faculty members must render an institutional declaration when hiring University staff for professional activities unrelated to the institution. The dean or University president will decide whether or not such hiring is convenient for the institution.

C. Conflict of Interest Related to Teaching

The University makes considerable effort to develop its faculty and work conditions suitable for faculty activities. Moreover, it considers that the institution's nature and its hallmark are closely linked to its faculty. Accordingly, it deems pertinent to establish rules aimed at ensuring the teaching exclusivity of its faculty. To guarantee such exclusivity, the University establishes the following conditions for faculty contracts:

- If a faculty member has permanent, part-time contracts with other educational institutions, the contract with Universidad de los Andes will only be subscribed for the fraction of time required to complete a full-time position.

- If a faculty member has a full-time contract with Universidad de los Andes, he or she will not have teaching contracts (including Continuing Education) with other educational institutions. An exception to this norm is made when the professor is acting under inter-institutional cooperation agreements of the University, or short visits authorized by the dean.
- The participation of full-time faculty in academic or professional conferences, seminars, or workshops will take place on behalf of Universidad de los Andes.
- The faculty member must render an institutional declaration of teaching activities undertaken outside the University.

D. Conflict of Interest Related to Decisions Taken by Faculty on Behalf of the University

The faculty, given diverse academic activities, positions and participation in the University's governance, become involved in decision-making processes related to hiring staff, promotion of faculty, administrative and support staff, acquisition of resources, and use of the University's infrastructure and assets.

If a faculty member's decisions lead directly or indirectly to his own benefit, he or she must declare their impediment to take part in those decisions.

E. Conflict of Interest Related to Participation in Politics

Faculty members who wish to run for public office may not keep their faculty standing during their campaign. The President of the University is entitled to grant them an unpaid leave of absence throughout that process.

F. Conflict of Interest Related to Participation in Specialized Consulting, Applied Research, or Business Internships

Faculty members who decide to take part in activities directly related with external organizations will privilege the University's interests over their own, unless a specific agreement to the contrary has been reached between the professor and the University.

CHAPTER XII

SEMESTER OF INDEPENDENT ACADEMIC WORK (STAI)

To encourage the faculty's academic development and facilitate promotion, a semester of independent academic work (STAI) may be granted. During this period, STAI awardees will not have teaching or administrative assignments, nor must they be present at the University. To obtain a STAI, the faculty member will submit to the department director (in schools with departments) or the dean (in schools without departments) an application detailing a specific academic program, coherent with his or her work plan and the unit's development plans.

- Those eligible for a STAI are full-time associate and full professors with at least five years of service at the University, and half-time associate and full professors with at least 10 years of service. A faculty member may not participate in this program more than once in five years. Faculty holding management positions are not eligible for STAI.
- Should several projects of equal academic value be available, priority will be given to faculty members who have not undertaken STAI.
- A STAI lasts one calendar half-year; i.e., January to June (inclusive) or July to December (inclusive).
- STAI covers only the faculty member's salary during the six-month period. It does not cover the cost of activities, travel, maintenance, supplies or resources related to the development of the academic program that led to it. These costs must be paid with external resources or with resources from the unit. If no adequate financial mechanisms are available for costs other than the professor's salary,

the STAI may not be granted. STAI approval does not bind an academic unit to pay for any costs other than the professor's salary.

- The dean will approve STAI, and the Academic Council informed, upon the sanction of the Offices of the Academic and Research Vice Presidents.
- If a STAI cannot be taken during the time scheduled, it may be postponed for up to one year.
- A STAI is not approved automatically. Approval is subject to the assessment of the professor's work program, and the unit's reassignment of teaching loads.
- All faculty members benefiting from a STAI will submit a report of activities and achievements.
- If the activity report is not satisfactory, the faculty member may not qualify for STAI again for 10 years following the end of the previous STAI. Each school will define mechanisms to assess STAI, in collaboration with the Office of the Research Vice President.

CHAPTER XIII

INCENTIVE FOR INTERDISCIPLINARY WORK (ETI)

To foster faculty inter-disciplinary academic activities, faculty members may be granted a semester to work at a department other than their own, under the incentive interdisciplinary work program. The faculty member's teaching load will be only one course, shared with a faculty member of the host department or school. A research work plan must be developed together with a professor or research group. The following rules apply:

- The professor must be invited by a faculty member or research group of a department or school other than their own, and must submit a work plan approved by the deans of both schools.
- The authorizations of the schools involved will specify the project for which the guest professor will work.
- The guest professor will not have to attend the school or department council, or committees of his own unit, but will be welcome to participate in those of the host department, school or center.
- The guest professor's own unit will continue to pay salary. During the ETI, the guest professor will teach a course together with a faculty member of the host unit. The student-places of this course will correspond to the guest professor's own unit. This course will be acknowledged as the equivalent of a full semiannual teaching load.
- An ETI lasts one calendar half-year; i.e., January to June (inclusive) or July to December (inclusive). At the end of this term, and before the start of the following semester, the faculty member will submit a report on the work plan undertaken to the two deans authorizing the ETI.
- The deans of schools involved will assign the ETI, and the Academic Council informed, upon approval by the Offices of the Academic and Research Vice Presidents.
- A faculty member will not qualify for a second ETI if a concrete product (article, book, patent or other) related to the ETI has not been submitted. The guest professor must coauthor the product with the host faculty member or group.
- An ETI beneficiary may be granted a STAI during the semester immediately following, or any other time. Similarly, a STAI recipient may at any time request an ETI. However, an ETI and a STAI may not be held simultaneously.

CHAPTER XIV

TEMPORARY PROVISIONS

To enforce the provisions of these Handbook gradually and preserve the rights of faculty ranked under the Faculty Handbook sanctioned by the Executive Committee in its session No. 183-05 of 2005, the following temporary dispositions apply:

- A.** Subject to these Handbook, every school will regulate the specificities of its own discipline in its Faculty Handbook within a period of six months counted from the sanction of these Handbook. The Academic Council will approve the Faculty Handbook of each school. Until such time as those rules are issued, faculty-ranking provisions of Handbook adopted by the Executive Committee in its session No. 183-05 of 2005 will continue in effect.

- B.** The appointment of specialist professors, distinguished practitioners, full-time teachers, associate researchers, visiting, post-doctoral assistants and adjunct professors will only take place when the respective regulations are issued and approved by the Academic Council.

- C.** Retired full-time faculty subject to the previous Faculty Handbook will keep, for the purposes of their new contracts, the faculty rank they held at retirement.

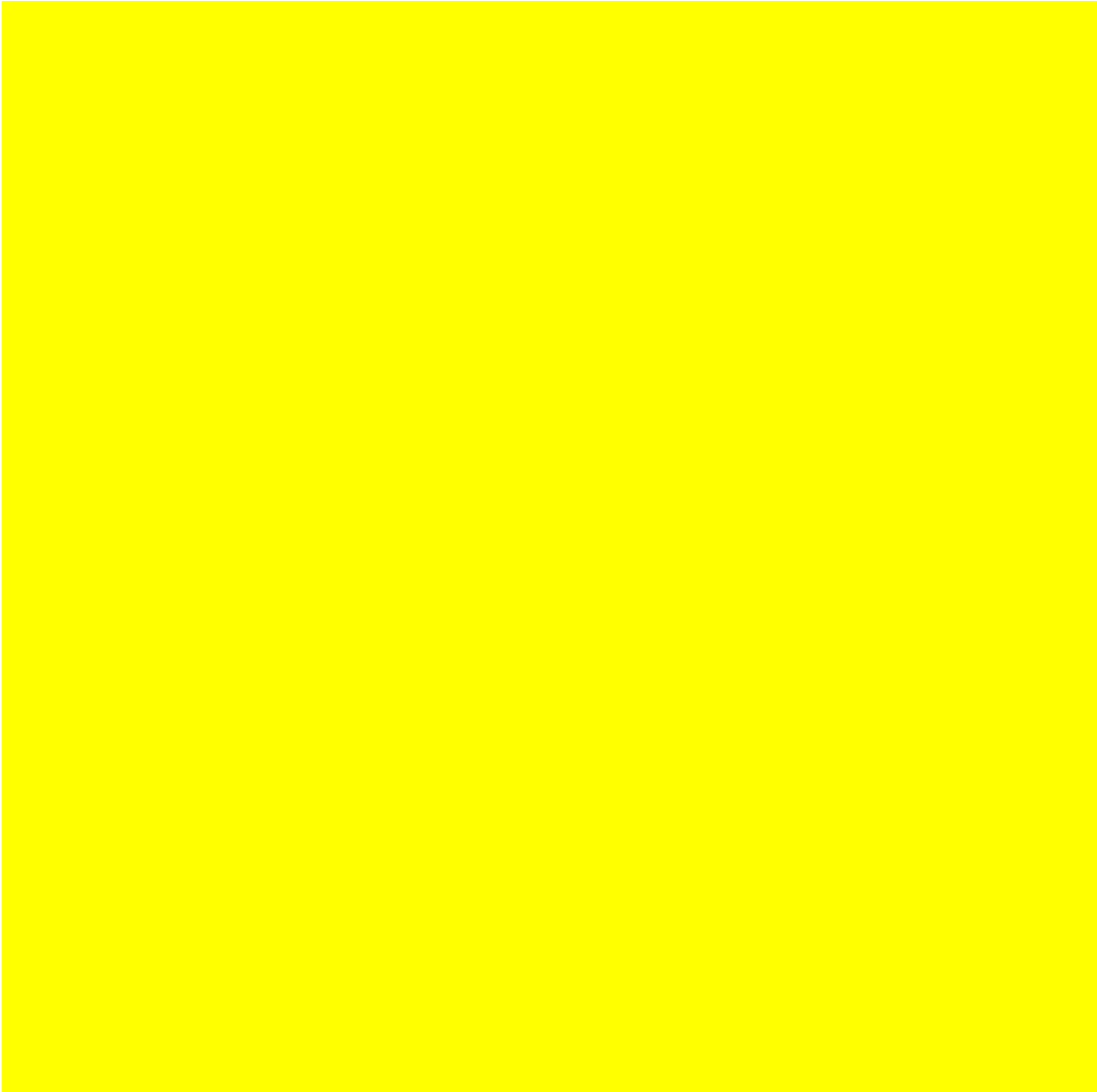
- D.** Faculty ranked before the effective date of these Handbook will keep, until the end of their respective terms, their ranking and time commitment pursuant to the regulations under which they were placed on the faculty ranking.

- E.** Faculty members will be ranked according to the various sub-categories set forth in the Handbook based on an assessment undertaken following mechanisms and criteria to be established by the Faculty Handbook of each school.
- F.** A period of time will be specified to determine the professors' ranking in the various sub-categories, pursuant to the criteria of these Handbook. The schools will be responsible for this process, to be approved by the Office of the Academic Vice President.
- G.** The Office of the Academic Vice President will determine a deadline to assess the implementation of the Handbook, and may propose amendments subject to the approval of pertinent authorities.

CHAPTER XV

LEGAL EFFECT

- A.** The Faculty Handbook sanctioned by the Executive Committee in its session No. 183-05 of 2005 will remain in force.
- B.** Without prejudice to temporary dispositions, these Handbook will be in effect as of the date in which they are sanctioned by the Steering Committee, and explicitly derogate the Handbook sanctioned in session No. 183-05 of May 4, 2005.



OFFICE OF THE ACADEMIC VICE PRESIDENT

An updated version of the *Faculty Handbook* is available at
<http://secretariageneral.uniandes.edu.co>

