

CORE DOCTORAL FACULTY HANDBOOK

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I. COMMUNICATIONS

One of the most difficult aspects of the diffuse and federal system of the GTU is communications. Though the Doctoral Faculty meets as a whole three times a year, we are scattered across various campuses. Everyone must make a special effort to keep informed. The revisions to the Doctoral Program and M.A. handbooks, as well as to the Core Doctoral Faculty Handbook are one major way in which we try to keep everyone apprised of new information.

The Dean's Office also asks you to keep us informed. The GTU Dean makes regular reports to the GTU Board about the achievements of Core Doctoral Faculty and students; we cannot celebrate what we do not know. The office welcomes news of publications, honors, and activities of note on the part of all of the Core Doctoral Faculty.

Also be aware of the Faculty section of the GTU website (www.gtu.edu); it provides a summary of teaching and research interests of all faculty in the GTU. It is a great way to find out more about someone you met at a meeting or reception, to track down a possible team teacher or collaborator, or to look for further resources for a student or project.

II. CORE DOCTORAL FACULTY (CDF)

A. Agreement and Definition

Agreement

In 1988-89 the Doctoral Faculty of the GTU generated a document to create a permanent Core Doctoral Faculty. After several faculty revisions, the document was approved by the GTU Board in October of 1989, and the first Core Doctoral Faculty was appointed in May of 1990. The Core Doctoral Faculty plays a prominent role in the "Academic Cooperation" section of the GTU Common Agreement (2001).

Definition

First and foremost, the Core Doctoral Faculty is the governing body of the Doctoral Program, a group appointed and reviewed by their peers, and committed to establishing and maintaining the standards of the Doctoral Program. This group provides continuity in the standards and quality of the program and is positioned as a definable faculty group to whom the GTU Dean goes for advice and direction about the doctoral program.

The Core Doctoral Faculty verifies that the procedures and protocols of the Doctoral Program have been followed and their scholarly standards achieved. Members of the Core Doctoral Faculty, being continuously active in the governance of the Doctoral Program, are qualified to certify that the standards of that program have been maintained.

Chairs of comprehensive and dissertation committees must be Core Doctoral Faculty. The Department Chair, with the Dean's approval, can waive this requirement if they have every confidence that the proposed chair can fulfill all of the above requirements. Such a waiver is a rare exception to the policy.

All GTU Consortial Faculty are part of the doctoral program's rich resources; according to their interests, they are encouraged to serve on committees as second readers as long as the Department Chair is convinced that their scholarly expertise is appropriate to the particular student project. Consortial Faculty are welcome to attend and participate in department colloquia, but Core Doctoral Faculty make the commitment to be active in the department, and knowledgeable about developments in the protocols and procedures of the doctoral program.

B. Institutional Learning Goals and Doctoral Program Learning Outcomes

The academic programs of the GTU introduce students to the life and practice of intellectually and methodologically rigorous scholarship to prepare them for a diversity of occupations and vocations;

- As thinkers who can identify central issues, interpret them in historical perspective, and understand their practical implications.
- As scholars and writers who study religious traditions and the lives of religious communities.
- As teachers who are conversant with the disciplines of religious and theological studies and are prepared to bring religious and theological issues to life with and for their students.
- As constructive critics and faithful reformers of living religious ^{[[L]]}_{[[SEP]]} traditions and of society who can provide fresh voices and insightful perspectives to revitalize a sacred heritage and recover neglected opportunities with their traditions.
- As leaders of genuine dialogue among communities of faith, shaping religious language for the emerging world.
- As specialists on justice issues and organizers prepared to propose fresh approaches to social and moral problems.

Students who complete the GTU doctoral program will be able to:

1. Formulate a research project in terms of the standards of a discipline, but sufficiently clear and well expressed to be comprehensible to scholars in other fields. ^{[[L]]}_{[[SEP]]} ^{[[L]]}_{[[SEP]]}
2. Produce scholarship that is innovative, intellectually and methodologically rigorous, requiring both broad and deep grasp of a field, linguistic skills, sound research methods, and analytical capabilities.
3. Incorporate into one's work the critical challenges of one or more religious and scholarly traditions beyond one's own.
4. Engage critically with at least one discipline of the research university outside theological and religious studies.

5. Communicate and interpret the subject matter of their discipline both orally and in written form, with appropriate sensitivity to academic, religious, and cultural contexts.

C. Participation in the Core Doctoral Faculty

1. Application to the Core Doctoral Faculty

Faculty wishing appointment to the Core Doctoral Faculty apply to the GTU Dean by October 15 or March 1, following the procedure below. Please submit the following to the GTU Dean by the deadline.

- 1) A current *curriculum vitae*.
- 2) The faculty member's statement of his/her qualifications for the Core Doctoral Faculty and willingness to fulfill the responsibilities stipulated by the Doctoral Faculty in the Core Doctoral Faculty Handbook (excerpted below).
- 3) A supporting letter from the faculty member's Dean or designated equivalent, including a pledge to give credit for service on the Core Doctoral Faculty
- 4) The designation of a primary department and concentration(s), and a secondary department and concentration(s), if applicable.
- 5) Samples of scholarly publications (academic books, peer-reviewed articles, book chapters), with reviews or assessment by external readers when available.

2. Qualifications for Admission to the Core Doctoral Faculty

- Have published an academic book or several peer-reviewed articles or book chapters in the discipline.
- Knowledgeable of current literature in the field, trained in research methodologies, and have active acquaintance with scholars in the discipline.
- Actively participate in professional scholarly organizations by presenting conference papers and/or serving in leadership roles.
- Hold the earned doctorate (Ph.D., Th.D., Ed.D.) or its equivalent in terms of research, publications, or stature in the discipline.
- Committed to the type of teaching and guidance of students that doctoral instruction requires.

- Attend department colloquia and have been available to serve as consortial faculty members on comprehensive exam and dissertation committees.
- Application endorsed by the current Core Doctoral Faculty in the department(s) to which they are applying, as attested to by a confidential letter of support from the Department Chair(s) addressed directly to the Dean.

3. Expectations and Responsibilities of Core Doctoral Faculty Members

In addition to the expectation that Core Doctoral Faculty will continue to publish their research in academic books, peer-reviewed articles, and book chapters, and remain active in professional scholarly organizations, they are expected to:

- Attend department colloquia and Core Doctoral Faculty meetings to give input on policies and standards of the doctoral program.
- Serve as advisors and on comprehensive and dissertation committees. Advising load is based on a point system earned as follows:
 - AD (Doctoral Adviser during the coursework): .5
 - CC (Comps Coordinator): 1.5
 - CM (Comps Member): 1.0
 - DC (Dissertation Coordinator): 1.5
 - DM (Dissertation Member): 1.0

CDF members from the Rostered Faculty are expected to carry a normal advising load of at least 8 points.

CDF members from member schools and affiliates are expected to carry the normal advising load of approximately 4 points.

- Ensure that all members of their advisees' comprehensive exam and dissertation committees are appropriate choices for the scholarly guidance which the students require.
- Uphold responsibilities as chairs of comprehensive committees, although faculty willingness to serve on such committees is somewhat contingent on availability; most faculty would not come back from a leave for a comprehensive exam.
- Uphold their responsibilities as chairs of dissertation committees so as not to leave students without guidance and regular feedback; should warn students well in advance of any sabbatical leave away from Berkeley (**faculty are expected to come back from a leave for a dissertation defense**); if they feel they must resign from a committee, they should take the responsibility to find a suitable replacement.
- Teach a doctoral course (5000 or 6000 level) with some regularity; for GTU Rostered Faculty, the expectation is four doctoral courses every four years; for member school and affiliate faculty, the expectation is two doctoral courses every four years.

- Serve on CDF committees on a regular basis. There are currently 35 committee positions:
 - Awards Committee: 2 members
 - Appointments and Review Committee: 2 members
 - Grievance Committee: 4 members
 - Doctoral Council: 2 members
 - Faculty Council: 8 members
 - Faculty Representative to GTU Board of Trustees: 1 member
 - Department Chairs: 4 members
 - Admission Committee: 12 members

CDF members from the Rostered Faculty are expected to serve on one or two committees every year.

CDF members from member schools and affiliates are expected to serve on not more than one committee every year.

4. Perquisites and Prerogatives of the Core Doctoral Faculty

- The faculty research monies controlled by the GTU Dean (including Newhalls) are primarily allocated to members of the Core Doctoral Faculty to support the level of research required to participate in the doctoral program.
- Because members of the Core Doctoral Faculty are mandated to establish and maintain the standards of the doctoral program, only they are empowered to vote on any policy issues pertaining to the doctoral program. Other faculty and students are encouraged to participate in discussions and “sense of the house” votes in department colloquia, but only the Core Doctoral Faculty votes on matters pertaining to the governance of the Doctoral Program.

5. Appointment of Core Doctoral Faculty

- The Appointments and Review Committee will review the applications. Following approval by the Core Doctoral Faculty meeting in plenary session, the Committee’s recommendations will be taken to the GTU Board through the Academic Committee for approval.

6. Review of Core Doctoral Faculty

In March 1998, the Core Doctoral Faculty unanimously approved changes in the review of its members.

- The following tool for evaluation will be used to examine CDF members’ contribution to GTU doctoral program. The Appointments and Review Committee will conduct reviews and make recommendations to the Dean. CDF members will be asked to supply the Committee with information with which to answer the questions listed below. Reviews will occur every five or six years (adjusted to coincide with schools’ evaluation of faculty if desired).

- The Core Doctoral Faculty has approved a simplified leave protocol for CDF members whose present interests and responsibilities do not permit full participation in the range of activities and accountabilities considered for evaluation for an extended period of time. Requests for leaves as well as the term of the leave (normally 3-5 years) must be approved by the Appointments and Review Committee. The Appointments and Review Committee can also require that a faculty member accept a leave from the CDF for a specified time (to be reviewed by both the faculty member and the Appointments and Review Committee at the end of that time). A faculty member who is on leave is not a voting member of the CDF.

TEACHING

1. Has the CDF member offered a seminar at the 5000 to 6000 every 1-3 years? Are foreign languages used as appropriate in the seminar work?
2. Do syllabi of doctoral level courses taught by the CDF member indicate that the readings, assignments, and lectures of the course exhibited doctoral level quality?
3. Do syllabi and the CDF member's scholarship record during and before tenure on the CDF indicate that the CDF member is "knowledgeable of current literature in the field, trained in research methodologies, and acquainted with [other] scholars in the field?"

RESEARCH AND PUBLICATIONS

1. Has the CDF member published significant articles, chapters in edited volumes, or a book in the period of evaluation that demonstrate a contribution to the CDF's field?
2. Is the CDF member active in scholarly organizations and professional societies?
3. Do the CDF member's publication(s) demonstrate that s/he is "knowledgeable of current literature in the field, trained in research methodologies, and actively acquainted with other scholars in the field?"

STUDENT ADVISING (as indicated by the CDF member's self-assessment and reports from the Associate Dean of Students)

1. Is the CDF member available to serve on or chair doctoral students' comprehensive examination and dissertation defense committees? Are required forms consistently submitted to the Associate Dean of Students' office without the need for reminders?
2. Is the CDF member available for appointments without unduly long waits? Does the CDF member keep appointments with advisees?
3. Does the CDF member make specific recommendations concerning UCB resources (courses, professors) especially suited to advisees? Do they encourage advisees to take UCB courses at an early stage in their Ph.D. work? Do they coach advisees on how to approach UCB faculty (e.g., take courses and discuss their projects with UCB faculty--even read their books!) before asking for their participation on committees?
4. Does the CDF member take appropriate responsibility for helping to form advisees' examining committees at both the comprehensive stage and the dissertation defense?

5. Does the CDF member follow up advisees' requests that UCB faculty serve on their committee by a phone call and/or meeting to 1) answer questions regarding our expectations and procedures, and 2) thank UCB faculty for their willingness to participate?
6. Does the CDF member mentor their doctoral students, for example:
(1) assisting students to understand what a publishable article must include; (2) helping students to identify appropriate journals to which to submit articles; (3) suggesting venues for students' scholarly presentations, and (4) assisting students in various ways in their endeavors to enter scholarly discourse in their field?

GTU EXPECTATIONS

1. Does the CDF member regularly attend department colloquia? Core Doctoral Faculty meetings?
2. Has the CDF member served on GTU committees (other than student's committees) as requested in the years since the last review?

The Graduate Theological Union is very grateful for the work of the CDF. It is essential to our common task and to the mission of GTU. Expectations for the CDF are based on the premise that it is a great privilege to participate in training theological thinkers and religious leaders for the twenty-first century.

D. Core Doctoral Faculty Structures

1. Core Doctoral Faculty Meetings

The Core Doctoral Faculty normally meets three times a year, on the third Wednesday in October, February, and April, from 4:00 to 5:30 pm in the GTU Board Room. Meeting dates are listed on the Extended Calendar, but Core Doctoral Faculty members should also receive a mailing including an agenda, reports, and proposals, more than a week in advance. If you do not receive your mailing, please contact the Dean's Office.

The Dean sees to it that the faculty receive, prior to each Core Doctoral Faculty Meeting, copies of minutes and/or reports from all faculty committees. The business portion of meetings will consist of brief committee reports and proposals. Much of the work of the Core Doctoral Faculty is done in the respective committees to free the meeting time for intellectual colloquia.

At each meeting, the Dean announces the publications of CDF from the past month. Faculty are invited to provide the Dean with information about their recent work.

An official list of Core Doctoral Faculty for each academic year is mailed in August to each faculty member.

2. Governance Procedures: Maintenance of Doctoral Standards

The Core Doctoral Faculty govern the GTU Doctoral Program, setting its standards. The GTU Dean is responsible to apply those standards consistently and equitably.

A major forum for discussing the policies and procedures of the Doctoral Program is the faculty meetings; however, because of the nature of this process, much of the work must be done in committees.

Between meetings, the Dean seeks advice from the Doctoral Faculty, either through the elected Faculty Council—which not only provides recommendations but also makes and implements policy—or through the Department Chairs, who can take issues back to the departments.

Individual student committee chairs play a major role in implementing and interpreting policies; any problems or issues should be referred to the Dean’s office to ensure consistent and just application of all GTU standards to all students.

3. Governance Structure

I. Core Doctoral Faculty (Plenary)

A. Constitution and Meetings

1. Consists of members duly elected to CDF and not on a leave from the CDF. Chaired by the GTU Dean.
2. Meets at least three times a year, usually in October, February, and April. The Fall meeting will be a “Town Meeting” on consortial issues. Other meetings may be scheduled as needed.

B. Powers and Responsibilities

1. Approves graduates of Ph.D and M.A. programs.
2. Elects CDF committees: Grievance, Awards, Appointments and Review, Faculty Council, and Doctoral Council.
3. Elects a faculty member of the Board of Trustees.
4. Provides detailed input on the agenda, issues, and policy matters before the Faculty Council.
5. Addresses consortial issues through the Faculty Council and Town Meetings.

II. Faculty Council

A. Constitution and Meetings

1. Consists of eight members elected by CDF.
2. Accountable both to the CDF as a whole and to the departments.
3. Meets several times during the academic year; chaired by the GTU Dean, who is a voting member.

4. Elected from a slate of candidates developed by the Nominating Committee. The Nominating Committee consists of the outgoing members of the Faculty Council. CDF will be solicited for nominations by e-mail. The Nominating Committee will review the nominations, develop a slate which is broadly representative, and check with potential candidates about their availability to serve.
5. Serves two-year terms, with half of the Council retiring each year. Retiring members are not eligible for re-election for two years.

B. Powers and Responsibilities

1. Oversees academic planning for the doctoral program, including attention to long-range issues.
2. Considers and approves any changes to the protocol of the doctoral program. Advises all faculty and students of the implications of these changes.
3. Develops and decides (by a majority of at least six votes) Core Doctoral Faculty policies in thorough consultation with the departments and with the CDF (through e-mail and hearings).*
4. Develops the agenda for the Annual Town Meeting on GTU consortial issues, and sees that appropriate parties are invited.
5. Hears regularly from CDF Board Representatives and provides CDF input on Board issues for those representatives.
6. Oversees the annual assessment process and periodic program reviews.
7. Oversees regular CDF reviews with an eye to policy issues and consistent quality of the doctoral program.
8. Develops CDF responses to, or input on, consortial issues with impact on the doctoral program at the request of the GTU Dean.

III. Departments

A. Constitution and Meetings

1. Consist of all consortial faculty whose academic work falls within the purview of the department. Non-CDF members may not chair doctoral student committees or vote on matters of CDF policy.
2. Meet monthly (third Wednesdays during the academic year) under the leadership of a Department Chair.
3. Chairs are appointed by the GTU Dean on nomination of the department and in consultation with the Dean of each chair's School of Affiliation.

A. Powers and Responsibilities

1. Recommend to the Admissions Committee regarding the qualifications of applicants and assign appropriate and available advisors for admitted students.

* A department or a petition of five CDF can request a Faculty Council hearing on an issue; such hearings will be well publicized so that interested parties may attend. After consultation, "final" policy statements will be circulated to the faculty, allowing another month of input and deliberation (in departments or from individual faculty). After taking the input into account, the Council may finalize the policy. The Council may also take an e-mail poll on an issue, to determine faculty support for or opposition to a policy or an aspect thereof.

2. Through the department chair, review and approve Comprehensive proposals and committees.
3. Through the Department Chair, review and approve Dissertation proposals and committees for submission to Doctoral Council.
4. Discuss general issues of doctoral program policies and procedures as they pertain to the departments, sending their views to the Faculty Council
5. Discuss and review course offerings of the department for the next academic year.
6. Provide department-specific professional development for students.
7. Foster intellectual discussion and exchange through the monthly department colloquia.

IV. Doctoral Council

A. Constitution and Meetings

1. Two CDF members elected by the CDF, plus the Dean and two student representatives.
2. Meets monthly during academic year on the first Wednesday of the month.

B. Powers and Responsibilities

1. Reviews and approves dissertation proposals and committees.
2. Advises the Dean on refinements or changes in doctoral program procedures.
3. Selects winner of the “best dissertation proposal” award.

4. Faculty Committee Structures and Representation

There are a number of committees that form the structure of faculty governance of the Doctoral Program and of the consortium.

a. Standing Committees of the Core Doctoral Faculty:

- 1) **Admissions Committee:** The Doctoral Admissions Committee consists of two faculty is chaired by the Dean. The committee’s decisions are informed by the recommendations of a team of at least three faculty members selected by each department. The Admissions Committee oversees the integrity and quality of the program as a whole, reviews candidates recommended by departments for quality and consistency and may, at its discretion, review all recommendations for acceptance and rejection; makes final decisions on those candidates to be admitted; and determines the recipients of major scholarships.
- 2) **Doctoral Council:** Consists of two CDF members plus the Dean and two Doctoral Student representatives. The faculty members of the Doctoral Council approve all dissertation proposals.
- 3) **Grievance Committee:** Consists of three faculty elected by the Core Doctoral Faculty at a faculty meeting and two student representatives. One or two alternates are also elected,

in case a committee member should have to disqualify him- or herself on a particular case. The purpose of the committee is to hear grievances brought by students concerning misapplication of GTU policies and procedures after those complaints have been through the prior review process specified in the document (for the Grievance Procedure, see the Doctoral Program Handbook).

- 4) **Awards Committee:** Consists of two faculty elected by the CDF who review entries and make decisions on the Chan Essay Contest, the Newhall awards, and the GTU Doctoral Student Travel Awards.
- 5) **Appointments and Review Committee:** Consists of two members of the Core Doctoral Faculty, nominated and elected at a faculty meeting, and the GTU Dean. The committee reviews applications for the Core Doctoral Faculty, conducts periodic reviews of Core Doctoral Faculty members, and advises the Dean on the slate for committee nominations.

b. Consortial Committee:

Library Committee:

Consists of one faculty representative from each of the member schools, appointed by the Council of Deans, and a student representative. The Council attempts to maintain some balance of departments and Doctoral and non-doctoral faculty on the committee. The library committee advises the Director of Library Services on collection priorities and development, library procedures and general policies.

5. Appointment Procedures for Standing Committees of CDF

As noted above, the Faculty Council, Doctoral Council, Appointments and Review Committee, Awards Committee, and the Grievance Committee are elected by the faculty. The other standing committee appointments are normally made in the spring of the academic year.

The procedure for appointments is a bit elaborate, reflecting the complex structures of the GTU. All Standing Committee Appointments must be approved by the Core Doctoral Faculty. In bringing nominations for these committees, the Dean seeks the advice of the Appointments and Review Committee. The Dean must also ascertain the willingness of the faculty to serve, and get the clearance of the Deans of the schools.

In making these appointments, the Dean must not only give attention to representations of the departments and the recent service record of each faculty member, but to the distribution of doctoral service across the various schools of the GTU. S/he must also have back-up nominations. Election of a faculty member to the Faculty Council, because of its considerable service, should free the faculty from other major doctoral faculty committee obligations. As much as possible, service on doctoral faculty committees should be spread across the Core Doctoral Faculty. CDF, as part of their appointment, agree to be available for service on committees as their circumstances allow.

E. The Departments

1. Department Colloquia

The departments meet in the early afternoon on the third Wednesday of the month, September through November, and February through April. Core Doctoral Faculty are expected to attend these meetings regularly.

In addition to offering opportunities for intellectual exchange and professional development, the departments conduct internal business and discuss issues before the Core Doctoral Faculty referred to them by the Dean or by Committees. They may also hold or plan events or receptions.

2. Consortial Faculty Hiring and Development Agreement

Approved by the GTU Board of Trustees, 13 May 1999. Coordination in the search for new faculty by member schools or the GTU should be as extensive as possible, with the understanding that the ultimate decision lies with the school making the appointment. To that end:

- a. Member schools shall explore with each other strategies for sharing faculty resources, or rotating faculty searches, to maintain a pool of full-time faculty whose composition reflects diversity of competence, race, gender and ethnicity.
- b. The Council of Deans shall conduct an annual survey of the academic needs of member schools, and of the doctoral program [**i.e., the departments**], as well as how previous needs were addressed through faculty appointments or curriculum revision.
- c. Member schools, prior to initiating a faculty search, shall:
 - 1) notify in writing the Council of Deans concerning the nature and purpose of the search, in order to elicit early feedback regarding (a.) possible parallel searches by other schools, (b.) perceived needs which a new faculty appointment might address for the wider GTU community, and (c.) potential candidates for the position;
 - 2) inform, and solicit suggestions from, the core doctoral faculty department likely to be affected by the appointment; and, when appropriate, from representatives of the University of California Berkeley faculty;
 - 3) invite a faculty member from that core doctoral department, but from outside the member school, to join the school's search committee for the purpose of representing the faculty interests of the wider GTU.
- d. The GTU Dean shall consult with the Council of Deans regarding the appointment of rostered faculty in order to ensure

- 1) that faculty resources currently available at the member schools are taken into consideration; and
- 2) that the rostered appointments enhance the GTU doctoral program as well as address the needs of the professional and ministerial programs of the member schools.

F. Resources for Core Doctoral Faculty

Information on the Student Affairs Staff and Dean's Office Assistance are discussed in the Doctoral Program Handbook.

1. Dean's Faculty Research Fund

Each year the GTU Dean awards small research grants to members of the GTU Core Doctoral Faculty. Applications for grants are accepted throughout the academic year and are for a maximum amount of about \$750. Grant funds may be used for any purpose related to scholarly research including, but not limited to, research assistance, editorial assistance and travel.

To apply for a grant you must address a letter or email to the GTU Dean which describes the following: the goals and objectives of the research project, how this project benefits your teaching and/or research, what the funds will be used for and an itemized budget summary. The funds are distributed on a first come first served basis so that more money is available earlier in the fiscal year. Grant requests should be submitted to the GTU Dean.

a. Requesting a Research Assistant or Teaching Assistant (outside of Newhalls)

If you need a research assistant or teaching assistant, these may be applied for through the Newhalls (described below) or through the Dean's Faculty Research Funds. The major difference is in the size of the grant: the Newhalls are much more generous, and thus you can have more hours of student assistance. If you have a short-term need for a research assistant, or a not too demanding Teaching Assistant position, you can request such a grant from the GTU Dean. (Since the funding is really too sparse for the Teaching Assistant positions, these will be granted only in special circumstances and as funds allow.)

b. Purchasing computers or equipment

If your research grant includes the purchase of a computer or any other equipment, the funds allocated to you must by law be reported to the IRS by the GTU as taxable income. You are then responsible for documenting any deductions or depreciation with the IRS.

c. Costs for travel, books, etc.

When your grant includes costs such as travel, lodging, meals, or books you must submit the original receipt—photocopies are not sufficient. For airline tickets you must submit the actual ticket receipt. The Business Office is required to document expenses to prove that the restricted research fund was expended for its appropriate purpose.

2. Newhall Awards

Newhall Awards are designed to provide teaching and research opportunities for our doctoral students in close collaboration with members of the faculty. The intent is for both parties to

benefit maximally from this award. This is the only budget line the GTU Dean's Office currently has to support Teaching Assistants, and it is more generous in Research Assistant support than the limited Dean's Faculty Research Fund. Faculty are encouraged to seek out appropriate students and apply for Newhalls regularly. The competition is judged by the Faculty Awards Committee, following the published guidelines. The Award deadline is once a year in late fall. The Dean's Newsletter announces the competition, and the application deadline.

The Newhall guidelines and procedures for application are listed in detail in the Student Section of the Doctoral Program Handbook.

III. GTU POLICIES

Information on GTU policies covering the honor code, grievance proceedings, inclusive language use, FERPA, and plagiarism are listed in the Doctoral Program Handbook.

A. Policy Statement on Use of Copyright Materials

1. Copyright Guidelines

Materials used for teaching and research are subject to "Title 17" of the United States Code (commonly referred to as the "copyright law"). As specifically stated in section 107 of this law, reproduction of a copyrighted work for teaching--including the production of multiple copies for classroom use--is not an infringement of the copyright as long as the particular case constitutes "fair use." In order to determine fair use, the following four factors must be considered:

- a. The purpose and the character of the use, including whether such use is of a commercial nature or is for nonprofit educational purposes;
- b. The nature of the copyrighted work;
- c. The amount and the substantiality of the portion used in relation to the copyrighted work as a whole;
- d. The effect of the use upon the potential market for or the value of the copyrighted work.

As these regulations are not further explicated in the text of the law, the GTU follows the specific guidelines contained in the "Agreement on Guidelines for Classroom Copying in Not-For-Profit Educational Institutions with Respect to Books and Periodicals" (Ad Hoc Committee on Copyright Law Revision, Author-Publisher Group, March 19, 1976).

Under these guidelines, multiple copies are considered acceptable for classroom or discussion use if the tests for "*brevity, spontaneity and cumulative effect*" are met and if each copy carries a notice of copyright.

Brevity is defined as either a complete article, story or essay of less than 2,500 words or an excerpt from any prose work of not more than 1,000 words or 10% of the work, whichever is less; but a minimum of 500 is allowed in all circumstances.

To meet the test of **spontaneity** the copying must be done at the request of the teacher, and the decision to use the copyrighted work must be so close to the time needed that it would be unreasonable to expect a timely reply to a request for permission to copy the material.

To meet the **cumulative effect** test:

1. the material copied must be for only one course in the school;
2. no more than one short article, essay or two excerpts may be copied from the same collective work or periodical volume during one class term;
3. there shall be not more than nine instances of multiple copying for one course during a given term.

The following are specifically prohibited by these guidelines:

1. Copying used to create, replace, or substitute for anthologies, compilations, or collective works;
2. Copying of “consumable” materials (i.e.. workbooks, exercises and standardized tests);
3. Copying used to substitute for the purchase of books, periodicals or publishers reprints;
4. Copying directed by “higher authority” (i.e. Dean of a school);
5. Repeated copying of the same item for the same instructor from term to term.

2. Compliance

Faculty, Administration, Staff and Students of GTU will comply with the procedures contained in the “Guidelines for Use of Copyrighted Material”. Willful infringement of copyrights using GTU equipment or on behalf of GTU using other equipment can be cause for termination of employment or expulsion from the student body.

No faculty member or student is authorized to use any GTU photocopying machine to make illegal copies for teaching or research purposes. If your school does not keep you informed about the regulations, the GTU Dean’s Office has a handout about copyright laws which you can use for reference.

B. GTU Statement on Academic Freedom

On January 25, 1988, the Executive Committee of the GTU Board approved a “Statement on Academic Freedom in the GTU.”

The Graduate Theological Union is a consortium of diverse theological schools, each of which has its own statement on academic freedom, reflecting its distinctive heritage, history and values. Those statements govern the instruction and research of faculties in their member school roles. The Graduate Theological Union statement defines our policy on academic freedom a) for those faculty rostered in the GTU; and b) for instruction of all faculty in the doctoral program, which is under the guidance of the GTU Dean.

The nature, structure, and mission of the GTU establish a multi-layered foundation for our commitment to academic freedom. First, we are an academic institution. Our faculty members share with their colleagues at universities a devotion to the unfettered pursuit of truth. Second, the ecumenical and interreligious structure of the GTU embraces a broad spectrum of religious traditions that must take cognizance of each other. This structure challenges each of the member schools and centers to stretch beyond its tradition to meet new occasions and engage in interreligious conversation. Third, there is a religious foundation to our commitment to academic freedom. The apprehension of divine or transcendent reality which we seek as scholars of religion inspires an awareness of richness and complexity, and compels an opening to new paths of thought and spheres of feeling, study, and action. Moreover, our philosophical and religious heritages embrace virtues of peace and tolerance that serve as a foundation for academic freedom.

In this spirit, we affirm an adaptation of the statement on academic freedom on of the American Association of University Professors ([AAUP Policy Documents and Reports](#) 1984 edition, pp. 3-4).

Academic freedom implies certain rights. Faculty members are entitled to full freedom in research and in the publication of results, subject to the adequate performance of their other academic duties. They are entitled to freedom in the classroom in discussing their subjects. As citizens, members of a learned profession, and officers of an educational institution, they should be free from institutional censorship or discipline.

Each of these rights also entails certain responsibilities. Research for pecuniary return is to be based upon an understanding with the authorities of the institution. Faculty members are not to introduce in the classroom controversial matters that have no relation to their subject. As persons of learning and educational officers, they are to remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, exercise appropriate restraint, show respect for the opinions of others, and make every effort to indicate that they are not institutional spokespersons.

As an institution of theological education, we also affirm principles of academic freedom regarding religious belief and practice. The GTU is an educational institution that supports the research, study, and teaching of religion and promotes academic cooperation among schools and centers representing a range of religious traditions. It imposes no test of religious belief or affiliation on its faculty. Faculty members, however, are responsible to show the utmost respect for the religious beliefs and commitments represented in the GTU community.

The Graduate Theological Union supports open and frank conversations and debates about the plurality of religious views and practices represented in and among the range of religions in the United States and the world. There are real and deep differences among the various traditions that cannot be superficially resolved. Such conversations, however, are to be conducted in an atmosphere of mutual respect; it is the obligation of faculty members to aspire to fairness and avoid distortion in confronting other religious positions, although they are free to disagree with and criticize them on intellectual grounds.

C. Guide for Assignment of Course Levels

1. 1000; introductory; required M.Div. courses (in some schools)
2. 2000-3000; foundational; survey at the introductory level (in some schools); extending/building on introductory courses
3. 4000; advanced; M.Div./M.A. based on difficulty of required reading, complexity of topics treated; critical analysis expected in discussions/papers
4. 5000; history and current issues in the field at the doctoral level; courses composed primarily of doctoral students (exceptional others with instructor's permission); major papers required; use of original languages if appropriate
5. 6000; doctoral students only; original languages used; students expected to exhibit increasing self-understanding as scholars conversing with other scholars in the field

IV. STUDENT ISSUES

A. Guidelines for Advising Prospective Applicants

Each year, many Core Doctoral Faculty come in contact with prospective applicants. More and more students come to visit and request to meet with specific professors. It may help to consult the following guide when answering questions. This will ensure that faculty are disseminating the same information. You may also refer applicants directly to the Admissions Office, or contact the Admissions Office yourself with questions or comments.

1. Degree Requirements

- Applicants must hold a B.A. (or B.S.) from an accredited institution
- Applicants must hold an M.Div., M.T.S., or M.A. in religion, theology, or a closely related field
- Applicants may not just complete the coursework portion of the M.A. and then begin the doctoral program, unless they already hold a graduate degree in religion.

2. Application Deadline

All materials must be postmarked by December 15, with the exception of GRE and TOEFL scores, which may arrive after that date.

3. GRE/TOEFL

- All applicants must submit GRE or TOEFL scores, unless the applicant has a Ph.D. in the Humanities
- International students whose first language is not English submit TOEFL scores in lieu of GRE scores, except students who have completed a year of study at an institution in the U.S. and are required to submit GRE scores.

4. International Students

- International students must meet all of the above degree requirements. Undergraduate degrees must be at least four-year degrees
- International students must prove that they have financial resources equivalent to one full year of study (consult Admissions or Financial Aid for the amount required) in order for the GTU to issue their visa paperwork (such resources are typically a combination of their own resources and the resources of a personal sponsor, church, etc., plus GTU grant-in-aid). Think carefully about encouraging international students to apply for admission if they do not have the kinds of funds needed for their studies.

B. Assignment of Advisees

The Admissions Committee makes advisor assignment recommendations as part of the application review process in January. The Director of Admissions confers with the Department Chairs to verify the assignments. In late spring, Admissions sends out the letters informing the faculty and students of the advisor assignments. If there is a problem, please let the Admissions office know immediately so that it can be rectified.

C. Catalog, Handbook, and Dated Policies and Procedures

It is a convention of the academic world that the Catalog given to the student on admission is a kind of contract; the same is true of policies and regulations in the Handbook. Although the GTU Dean's office advises students that it is often in their interest to adopt voluntarily new protocols or procedures, we cannot require them to do so. Please check with the Associate Dean of Students to be sure which regulations apply to which students. The Associate Dean of Students' office keeps a complete file of GTU catalogs, and endeavors, to keep dated policies and protocols.

D. Advising Weak Students

There are a small percentage of doctoral students who have real problems in the doctoral program. There are a number of points in the program at which faculty may address these problems:

- Diagnostic interview and/or initial advising
- Annual review of student's progress
- Research readiness review of student, normally conducted during the second year
- At the time of the comprehensive examination proposal or oral defense
- At the time of the dissertation proposal or at any time in the process prior to the dissertation oral defense

When a student is struggling with the program, it is in everyone's interest to address the problem in a timely manner. In addition to the review points above, faculty members may wish to use the following mechanisms to address performance problems:

- Invoke Academic or Advisory Probation, giving a student an opportunity to address specific concerns within a specific time frame, and to bring closure to the process if the performance is inadequate.
- If a student has completed some portion of the special comprehensive examinations, suggest a terminal M.A. if the performance warrants this and there is an appropriate paper which could be used for a thesis.

E. Annual Student Review of Satisfactory Academic Progress

1. Rationale

In 1989-90, the Doctoral Faculty passed as part of the Doctoral Plan a procedure for annual review of student progress. This procedure is, on the one hand, part of our improved doctoral advising system; these reports are also a necessary part of our certification of Satisfactory Academic Progress, which keeps our students eligible for federal financial aid. The federal requirements largely govern the calendar by which the faculty-designed process must proceed.

2. Procedures

Each June the Associate Dean of Students reviews the student's academic records and makes a decision regarding the student's progress in the program. The Associate Dean of Students invites the CDF to share concerns they might have with the quality and/or pace of their students' work. Students receive written confirmation of the results of their progress review from the Associate Dean of Students in July with copies sent to the student's advisor, Department Chair, and the GTU Financial Aid Office.

For more information on Satisfactory Academic Progress, see the Doctoral Program Handbook. It is good to acquaint yourself with the criteria for Satisfactory Academic Progress, which stress—among other things—the normative time schedule. Giving students repeated extensions may not be in their best interest, particularly if they receive financial aid.

F. Doctoral Student Review for Research Readiness

In April 1993, the Core Doctoral Faculty approved the Review for Research Readiness in order to ensure that students receive concrete and helpful feedback early in their program about the adequacy of their preparation and skills for doctoral level research. The review is also a tool for advisors and Department Chairs to identify students who, in light of their preparation and skill-development, and a clearer sense of their interests, may need to be terminated from the program. See the Doctoral Program Handbook for the procedures involved.

G. Student Committee Structure Regulations

Forming and getting approval for committees is a major hurdle for GTU doctoral students. Thus we have provided detailed information on this procedure in the Doctoral Program Handbook. It would be useful for faculty to review and be familiar with this information.

The handbook includes information about comprehensive examinations committee relations and expectations and the procedures for committee appointment and approval. You may also find pertinent the common wisdom section on the comprehensive exams, which is included in the back of the Doctoral Program Handbook.

The handbook also includes information about constructing a dissertation committee and about procedures for getting the prospectus approved.

1. Committee Chairs

They must be members of the Core Doctoral Faculty and the student's department. Exceptions must be strongly supported by the Department Chair and the Dean to ensure that the standards, procedures, and protocols of the Doctoral Program will be effectively implemented; that is a major role of the chair.

2. Faculty from Second GTU Member School (or GTU roster)

Second readers need not be members of Core Doctoral Faculty, but must be listed as Consortial faculty at the GTU or at a member school. (Adjunct faculty may not serve as second readers.) The Department Chair and the Dean must be confident that the second GTU faculty member is an appropriate member of the committee in terms of what he/she can contribute to the specific comprehensives/dissertation project.

The second reader will ordinarily be from a different school or center from that of the committee chair. The intent is to provide an ecumenical/interreligious perspective on the dissertation. Exceptions for good cause must be approved by the Dean upon the recommendation of the Department Chair.

GTU Adjuncts from UCB do not count as being from another school in the GTU.

3. "Outside" Third Members

Outside readers represent the research disciplines of the university. They should not normally be faculty from another theological institution unless their training and publications shows them fully steeped in a research discipline, or unless the research discipline is otherwise represented on the committee.

The "research disciplines of the university" is meant to exclude **only** those disciplines offered solely in theological schools and departments of theology: theology narrowly conceived; pastoral care; homiletics; liturgy; religious education; missiology.

The university disciplines include religious studies; intellectual history; philosophy; psychology and psychiatry; rhetoric; anthropology; history; education; sociology; area studies; philology; art history; and so forth.

Any faculty member who has a degree in a field other than those offered **solely** in theological schools or departments and who publishes in the journals of that field is eligible to serve as an outside member even if he/she happens to teach in a theological school or department of theology. The purpose of the requirement is to make certain, following national standards set by the Council on Graduate Studies in Religion, that Ph.D. students are exposed to the issues and methods of disciplines beyond those which are exclusive to theological institutions.

Non-UCB outside persons must submit a C.V. for approval by the Dean; there is a folder of approved C.V.s in the Academic Programs Coordinator's office; if the person is already listed in it, there is no need to request another C.V.

Outside persons should have the Ph.D., an academic position at an accredited institution, and a publication record suitable for advising doctoral students.

If an outside member cannot attend the oral examination or defense in person; he/she may participate by means of a videoconferencing software application or a conference phone call. In very rare situations, where the outside reader is not available for a conference call, written questions or comments can be used. The student must receive approval from the committee chair and the Associate Dean of Students to involve the outside member in this manner.

H. GTU Financial Aid Policies

The Financial Aid Office sets and annually reviews and refines the GTU policies and guidelines and their application. For a description of the current guidelines, see the Doctoral Program Handbook.

V. POLICIES ON FACULTY STATUS

A. Academic Ranks

1. Standard Academic Ranks

a. Regular or Tenure Track Ranks (Assistant, Associate, and Full)

Regular faculty are hired in tenure track lines approved in advance, in accordance with an academic plan, by the Doctoral Faculty, the Dean and President, and the Board of Trustees. Candidates are selected through a national search and screen process that follows institutional guidelines in accordance with acceptable academic procedures. In a tenure track appointment, the institution has made a financial commitment to fund the line, and to award tenure on the basis of the candidate's academic performance and productivity.

b. Visiting Professorships (All Ranks)

These are temporary appointments, often for only one semester, but sometimes as long as a year or two. They are funded either on soft money or by funds released through sabbaticals or leaves of other faculty. Visiting rank indicates that the faculty member is permanently employed at another institution and has taken temporary leave from his or her normal position to teach at our institution. The title is also sometimes used for foreign scholars, even though they may, because of retirement or some other reason, not currently hold a formal position elsewhere.

c. Adjunct Professorships (All Ranks)

Adjunct status indicates that the individual's primary professional commitment is to another institution or organization, but because of special expertise and interest in some aspect of the GTU doctoral program, they occasionally offer courses for our students. A number of UCB faculty have held adjunct ranks in the GTU. There are two chief distinctions between adjunct and In-Residence appointments:

a) in the former, the GTU is not the primary professional commitment, and b) there is less regularity and predictability in the teaching load and level of participation in GTU academic programs.

d. Emeritus Professorships

This is a rank held by former, retired faculty of the GTU. Emeritus professors may remain quite active in teaching and advising of students. If funds are available, they may agree to teach courses, and a number serve on doctoral committees of students. Their service is often very valuable, but is entirely dependent on their willingness and availability. They have no formal responsibilities, but rather an ongoing relationship with the institution.

2. GTU Policy on In-Residence Faculty

The category of “In-Residence” faculty is modeled on the “In-Residence” ranks within the UCB system. An “In-Residence” faculty member: 1) is not supported on the general instructional budget of the GTU; 2) does not hold a tenure track line; 3) has a formal relationship with a department or recognized affiliate of the GTU, which constitutes his or her primary professional commitment; and 4) has in all respects comparable academic qualifications to those who hold the same rank (assistant, associate, or full) in tenure track lines.

Appointment to “In-Residence” status is made by the Dean through a formal letter of appointment. 1) Such an appointment is initiated by a letter to the Dean from the Department Chair or the Director of the academic unit recommending the appointment. 2) The teaching load will be specified by the Dean after discussions with the candidate and the Department Chair or Director of the academic unit. 3) Letters of appointment are for a limited term, renewable, but the appointment to “In-Residence rank” is not to a tenure track line. Should a tenure track position open in the area of appointment, the “In-Residence” faculty could be a candidate in the national search. 4) The letter will stipulate the source of the funding for the appointment. The appointment is always to be made explicitly contingent on the availability of funding; the GTU instructional budget and general fund are not liable for these appointments. 5) “In residence” faculty will be reviewed annually by the GTU Dean, as are all GTU rostered faculty. “In residence” faculty will also be reviewed by the Appointments and Review Committee at the time of initial appointment, and at regular intervals, normally of three years. 6) “In residence” faculty proceed through ranks of assistant, associate, and full, on the same schedule, and under the same conditions as regular tenure track faculty.

“In residence” status is a device for recognizing and utilizing the contributions of scholars who are formally affiliated with the GTU through some means other than search and appointment to a faculty line. It is not a substitute for regular faculty appointments. Faculty lines designated by the GTU administration and Board as part of the GTU academic plan will be tenure track appointments.

B. Academic Policy for Endowed Chairs in the GTU

On February 23, 1989, the GTU Board passed a policy on the endowment of chairs in the GTU. This policy had been previously reviewed and passed by the Doctoral Faculty.

GTU fund-raising priorities are established in the Strategic Plan. Contacts with donors are guided and orchestrated by the Office of Institutional Advancement. This document affirms these procedures and establishes academic policies to be followed in the administration of chair endowments.

There are two models of endowed chairs: 1) a permanent faculty position in a specified area of study; and 2) a “distinguished professorship” which is filled for a limited time by a visiting scholar or a member of the existing faculty.

1. Permanent Professorships

The disciplinary area covered by a prospective endowed chair should be consistent both with the academic mission and the long-range academic plan of the institution. Commitments to raise endowments for a particular professorship would be made in a consortial strategic planning process, endorsed by the Doctoral Faculty, the Council of Deans, the Council of Presidents, and the Board of Trustees.

If a donor or constituency approaches the GTU with an offer to endow a chair in a specific field, that proposal will be entertained under the following conditions: 1) that it meets the general outlines of the academic plan and mission of the GTU; 2) that the donor(s) agree that the GTU would have full control over hiring, promotion, and tenure of the professorship; and 3) that the proposal win the approval of the Doctoral Faculty, the Council of Deans, the Council of Presidents, and the Board.

The endowment of a permanent chair requires a full financial base for the support of a faculty member, including a salary at or above the normal range of the professorial level, benefits normal to the institution's policy, and, in addition, perquisites for research assistance, travel, and/or secretarial assistance as well as funding for appropriate overhead. No professor will be appointed until the endowment is complete.

All appointments to endowed chairs must be made in accordance with "GTU Faculty Appointments and Procedures" (February, 1982), which specifies a national or international search. Under no circumstances can a donor or donor group stipulate the occupant of the chair, or the precise content of courses to be taught. Holders of endowed chairs will be on the GTU instructional budget and under the supervision of the GTU Dean, the Academic Committee, and the Board.

2. Distinguished Professorships

The Consortium, in the process of strategic planning, might also commit to endow a distinguished professorship, designed to recognize and honor GTU faculty or visiting scholars for a finite time period (a year or two). Such professorships may or may not match full salary, but they would in all cases provide a panoply of perquisites to support the research life of the scholar so honored. At the end of each appointment, the use of the endowment would be reconsidered in accordance with needs for faculty employment and deployment, in consultation with the Doctoral Faculty, the Council of Deans, the Council of Presidents, and the Board.

C. Visiting Scholars

Faculty members who have a doctorate and an appointment at an accredited academic institution may apply to be a visiting scholar at the GTU by contacting the Assistant Dean for Academic Affairs. They will be sent an application form that requests all needed information.

When a Visiting Scholar arrives at the GTU, he or she should check in with the Assistant Dean for Academic Affairs to learn how to get his or her Library I.D. card.

D. Adjunct Faculty

The GTU Dean's office has no budget line for Adjunct Faculty appointments. Occasionally, department has made an urgent case that there is a need for an adjunct to teach a particular course, crucial for the department's program, which cannot be taught by faculty available that year. Such requests have to be made by October of the year prior to become part of the GTU's budgetary planning. A request competes with many other such requests in a tight budget situation, so that funding is by no means assured. However, without lead time for planning funding is nearly impossible. Please notify the Dean as soon as possible about any extraordinary needs.

VI. RESPONSIBILITIES OF DEPARTMENT CHAIRS

A. Chair Department Colloquia

- Establish and arrange a regular meeting room and time, and inform the Academic Programs Coordinator, including any changes, since students and faculty often call her office for information.
- Set the agenda 10 days in advance of the department colloquium, including suggestions from department members, and requests from the Dean, Associate Dean of Students, and the Faculty Council.
- Have the Department Assistant prepare the agenda and collect, copy, and distribute to all students and Core Doctoral Faculty members all required materials 10 days in advance. Establish with the Assistant a clear procedure for where and by what deadline material is to be collected.
- Make sure accurate minutes are kept and distributed. A copy should be sent to the Associate Dean of Students for Student Affairs Office files. Minutes should include a list of attendees. This will provide a record of which department faculty participated in a particular decision and will also provide a record of faculty participation in department colloquia for the Dean's Office and future Department Chairs.
- Make announcements concerning upcoming consortial events of interest to students and faculty in the department; this helps to sustain consortial efforts at communication.

B. Approve Student Proposals

- Review and approve comprehensive examination proposals, including proposed committee membership.
- Review and approve dissertation proposals, including proposed committee members.

C. Review of Courses to be offered by the Department

The GTU as a consortium seeks to be intentional about reviewing course offerings, to eliminate redundancies and ensure that courses are being offered at all levels for all programs.

At the beginning of each year the Deans undertake the review of course offerings for the following academic year. Please note that the departments will be asked to discuss tentative offerings in October, and forward any concerns or suggestions to the Council of Deans.

D. Department Assistants

In order to help with the chair's clerical work, the Dean's Office funds an Assistant for each of the departments. Please consult with the Dean about the current funds available for the department and specific use of funds. Department Assistants' timesheets should be submitted to the Dean's Office.

Department Assistant's Responsibilities:

- Prepare agendas, and copy and distribute them with attendant materials. Take minutes, and prepare them for distribution, with approval of the Convener.
- Help plan any department events or receptions.
- Help the chair survey the department on various issues, as requested.

Chairs are responsible for locating a student to work as an Assistant; it is generally better if the Assistant is a doctoral student in the department, since he or she will have a special interest in the activities of the department, and will often do an outstanding job. However, there is no requirement that Assistants come from the department.

To hire an assistant, simply write a brief memo to the Associate Dean of Students appointing him or her Department Assistant, and send the student with the memo to the Associate Dean of Students' Office. The Associate Dean of Students will authorize the hire, and send the student to the Financial Aid Office to first explore options for work-study funding. He/she will authorize the hire and send the student to the GTU Personnel Office to go through student employment procedures. Any additions to the standard job description should be specified in the memo. (See the *Doctoral Program Handbook*)

The one caution in the hiring process is that if the student is on Financial Aid, their earnings as Assistant cannot put them over their legally calculated "need." It is thus wise to begin this process early enough that any problems can be resolved in ample time. The standard wage for a Department Assistant is set in accordance with current GTU guidelines. Students will have to fill in time sheets to receive their wages for Department Assistant work.