



# **FACULTY HANDBOOK**

**27th Edition**

**Effective July 1, 2021**

## **FOREWORD**

The Faculty Handbook is designed to provide members of the WKU faculty with information about policies and procedures, faculty responsibilities and benefits, and various services and facilities. In the interests of brevity and economy, duplication of information available from other University resources is held to a minimum, and references and/or links are made to those other resources when practical.

This Handbook is subject to review and revision annually by the University Senate and its subcommittees. The official Handbook shall also be continually posted at: <https://www.wku.edu/senate/documents.php> and [https://www.wku.edu/academicaffairs/resources/faculty\\_handbook.php](https://www.wku.edu/academicaffairs/resources/faculty_handbook.php).

This Handbook is for informational purposes only and does not constitute a contract of employment for WKU faculty.

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## ***I. UNIVERSITY ORGANIZATION AND ADMINISTRATION***

**I.A. Administration:** The current organizational structure for WKU is available at: <http://www.wku.edu/admin/>.

### **I.B. Major University Committees:**

**I.B.1. University Senate:** This body is the committee for the articulation and presentation of the views of the faculty within a collegial system of University governance. In a collegial system authority and responsibilities are shared among colleagues, some of whom have duties as faculty and others as academic administrators. The University Senate functions as the official representative voice of the faculty, advising and making recommendations to the President and Provost and Vice President for Academic Affairs (“Provost”) concerning academic programs, requirements and policies, faculty responsibilities and welfare, and other matters of importance to the faculty. The Senate’s membership is derived from full-time faculty members, staff, administration and students. The Senate shall have standing committees, which may include the University Curriculum Committee, the General Education Committee, the Faculty Welfare and Professional Responsibilities Committee, and the Academic Quality Committee. Information regarding this body including the Charter of the University Senate can be found at: <http://www.wku.edu/senate>.

**I.B.2. Graduate Council:** This body is composed primarily of elected faculty members and has general supervision and control over matters of graduate instruction, including admission and degree requirements, curricula, and general academic regulations. The Graduate Council submits recommendations concerning initiation or revision of graduate courses and programs through the University Senate to the Provost. The Graduate Council also supervises and oversees membership in the graduate faculty. For more information on the Graduate Council visit its web page: <https://www.wku.edu/graduatecouncil/>.

**I.B.3. Professional Education Council (PEC):** The PEC has as its purpose to provide planning, oversight, and direction for all of the University’s professional education programs. Its functions include, among others:

- Considering proposals for required or restricted courses and programs that lead to teacher certification;
- Making recommendations to appropriate bodies and/or officials regarding academic programs, academic policies, and scholastic regulations pertaining to professional education courses and programs at Western Kentucky University;
- Initiating studies and developing policies pertaining to the curriculum, to scholastic regulations, or to other matters referred to the Professional Education Council by the Dean of the College of Education and Behavioral Sciences, the Provost, or the University Senate;
- Recommending to appropriate bodies and/or officials the establishment of new programs for the preparation of students to meet professional, state, and institutional standards for practice in Preschool through Grade 12 settings; and
- Receiving and reviewing annual reports regarding the use of assessment data in programs leading to certification by Kentucky’s Education Professional Standards Board.

For more information on the functions and composition of the PEC, as well as the PEC’s role in the curriculum process, refer to the Undergraduate Curriculum Committee guidelines and procedures, contact the CEBS Dean’s Office, or visit the PEC web page: <http://www.wku.edu/cebs/peu/>.

**I.B.4. College Undergraduate Curriculum Committees:** These bodies consider proposals for curriculum expansion or revision from academic departments or curricular areas within the undergraduate colleges. Each college curriculum committee is composed of the dean of the college (or designee), the department heads within the college, the directors of other offices within the college, and one elected faculty member from each department in the college. The college undergraduate curriculum committees make recommendations to the University Undergraduate Curriculum Committee or the University General Education Committee, and then to the University Senate.

Colleges may also have a graduate curriculum committee to review graduate-related curriculum matters and make recommendations to the Graduate Council and then to the University Senate. Or, colleges may choose to have one curriculum committee to review both graduate and undergraduate proposals.

Numerous other departmental, college and University committees also function as part of the academic organization of the University. Information concerning these can be obtained from the administrative offices involved.

**I.C. University Ombuds Officer:** The Ombuds Officer serves as an available information source and point of communication for faculty and staff who believe they may have a personal grievance regarding an alleged violation, misinterpretation or improper application of University policies and procedures or alleged improper treatment. For information on the Ombuds Officer follow this link:  
<http://www.wku.edu/admin/index.php>.

## **II. FACULTY APPOINTMENTS AND RESPONSIBILITIES**

As members of a global community, faculty members at WKU recognize that we are role models as academics and as citizens. The following sections represent the faculty code of conduct, rights and responsibilities. It is the intent of the faculty code to protect academic freedom, to help preserve the highest standards of teaching and research/creative activities, and to advance the mission of the University as an institution of higher learning.

### **II.A. Faculty Appointments:**

WKU prohibits and will not tolerate any act of discrimination or harassment on the basis of race, color, religion, national origin, ancestry, sex, age, marital status, familial status, sexual orientation, disability or military status. The University will strive to create an environment of equal opportunity and respect for diverse faculty populations in accordance with local, state and federal law. For more information and official policy statements, visit the Office of Equal Opportunity's site: <https://www.wku.edu/eoo/>.

**II.A.1. Generally:** Faculty members are employees of WKU who teach and assume other academic responsibilities commensurate with the missions and goals of the University. Faculty members are expected to demonstrate competence in their discipline, the ability to impart knowledge through effective teaching, and to engage in research/creative endeavors.

Faculty and staff member appointments are governed by HR Policy on Recruitment and Selection – see HR policy 4.220V on the [Human Resources Policies page](#). The faculty search process provides that the Chair of the Search Committee (after consultation with the Search Committee) will forward the strengths and weaknesses of each interviewed candidate for a faculty position to the Department Head, without selecting, ranking, or recommending any single candidate. The Department Head is authorized to forward a recommendation for appointment through administrative channels in accordance with the University's policies and procedures. The University President is authorized to recommend to the Board of Regents good faith offers of employment to prospective employees contingent upon subsequent approval by the Board of Regents.

Unless otherwise specifically stated in writing, new faculty members are appointed with a probationary period leading to tenure. During the probationary period they receive continuance reviews as per section IV. Full-time, tenure eligible faculty hold the academic rank of assistant professor, associate professor, or professor and teach a full course load as stipulated by the University, or have an academic assignment that is more than fifty percent (50%) within an academic department or program. Department heads/chairs/directors who hold faculty status are full-time, tenure eligible faculty. Reassigned time does not remove a person from full-time, tenure eligible faculty status. For Pedagogical Track Faculty members see academic policy 1.199V on the [Academic Affairs Policies page](#).

Full-time, non-tenure eligible faculty may receive annual or multi-year appointment and shall perform all duties as required by the University in their letter of appointment. Notice of appointment is by letter to the faculty person. Full-time, non-tenure eligible faculty are not appointed to a probationary or tenured position, and may not accrue time toward tenure. There is no provision for "transfer" from a non-tenure eligible faculty appointment to a tenure-eligible faculty appointment. Appointment to a tenure-eligible faculty track requires appointment de novo in that position and resignation from any previously held position at WKU.

## II.A.2 Lecturer Appointments

When a search for a tenure eligible faculty position results in the hire of an individual with the status of All But Dissertation (ABD) or the equivalent for the discipline, the individual selected should be appointed as a Lecturer. Lecturer positions are non-tenure-eligible. Lecturer positions are not eligible to vote in Regent's Elections, as per Kentucky statute KRS 164.321.

Lecturer appointments are made for one year, renewable annually up to a maximum term of three years. A decision on renewal appointments shall be made by the dean, upon recommendation by the department head, at least four months prior to the end of each year of the appointment and communicated to both the candidate and the department head.

When the doctoral degree is completed, as evidenced by appropriate documentation (such as an official academic transcript), within the first two years of the Lecturer appointment, the individual will be appointed to the rank of assistant professor at the beginning of the immediately following academic term and the probationary period, not to exceed six years, will commence at that time. If no such evidence is presented, the third year of the Lecturer appointment will be the final year of employment.

**II.B. Faculty – Workload:** Among the components of the total workload of the faculty member are classroom and laboratory instruction; scholarly activities including research and creative endeavors; student consultation and advising; assisting in the administration of the work of the department or college; service on departmental, college or University committees; representing the University in a service or consultative role to schools, governmental or outside agencies; and other duties incidental to the above or as assigned by the head of the department, dean of the college, Provost, or the President. Faculty members will participate in the evening, weekend and/or regional instructional program(s) upon request of the department head.

The letter of appointment requires faculty members to fulfill completely their responsibilities to the academic objectives of the University, college, department, and discipline. Outside responsibilities or personal activities and interests must in no way conflict with the primary obligations of the faculty member to the University. Personal obligations that interfere with faculty members' ability to fulfill their professional responsibilities must be avoided unless provision is made in a special, less-than-full-time letter of appointment. For more information on consulting work and outside employment, see the Outside Employment and Consultation policy description in Section II.W. of the Handbook.

The University provides faculty members with office space to facilitate meeting professional responsibilities. These responsibilities include: participation in departmental and college business; consulting with, assisting, and advising students; and research/creative activities. The maintenance of office hours for these purposes is a professional responsibility, and hours should be sufficient to fulfill the aforementioned obligations.

Full workload assignments for full-time faculty members are distributed across teaching, research/creative activities and service. The department head and college dean in accordance with the published guidelines/policies of the college determine specific individual assignments.

Graduate faculty members may request reduced teaching assignments. Reduced teaching loads must be justified by productive research or research/creative activity equivalent to the load reduction involved. Graduate faculty members requesting load adjustments must present to the department head a comprehensive written outline and statement of objectives for the research or research/creative activity on which the adjustment is to be based. The department head and college dean will assess the proposed project according to the specific criteria applied to research and creative achievements.

At the conclusion of the academic year in which a load adjustment has been granted, the faculty member must submit a full progress report to the department head and college dean. This report will be included as a part of the faculty member's annual review and will be taken into consideration when further load adjustments are under discussion.

Teaching load for laboratory courses and for special instructional programs in which semester hour equivalents are not applicable is computed according to an approved formula established by the department head and college dean after the circumstances of the particular course of study are evaluated. Factors taken into consideration are the supervision required of the instructor, the number of laboratory assistants available, the level of instruction, and similar factors. Load assignment is awarded for direction of theses, dissertations and special projects. The college dean shall make the determination of load assignment after thorough review of the project with the faculty member. For more on workload and compensation see academic policy 1.209V on the [Academic Affairs Policies](#) page.

For the improvement of instruction and for the professional advancement of the faculty through research/creative and service activities, special faculty assignments may be approved on a limited basis in accordance with the following guidelines:

- In evaluating the justification for teaching load adjustments or assignment of special assistance as a means of instructional improvement, the department head and dean of the college may consider such factors as total student load, level of instruction, contact hours, number and complexity of course preparations, and other similar factors. The department head shall initiate and justify all recommendations for load reductions in this category that are submitted to the dean of the college for approval. The dean of the college shall carefully evaluate the impact of such assignments on the educational program and class schedule of the department. If it is determined that a direct budgetary allocation is necessary, the approval of the Provost will be required.
- Requests for a special assignment for research/creative activity or service activity are initiated by the faculty member, who is required to present to the department head a comprehensive outline and statement of objectives for the proposed project. At the conclusion of a semester during which a special assignment has been pursued, the faculty member shall submit a full progress report to the department head and the college dean. For the guidance of the department head and the dean of the college the following factors are to be considered in addition to more specific merits of the research/creative or service proposal:
  - The contribution that the activity will make to the professional career of the individual or to the educational mission of the University.
  - The usefulness of the project for teaching, including the involvement of students in an educational context.
  - The benefit of the proposal to the University community or to the service region and the patrons of the University.
  - The potential for acquiring outside financial support for the project as a result of the special assignment.



- To ensure relative uniformity of the application of these guidelines, the following provisions shall apply to this category of faculty assignments:
  - Within a month after the conclusion of registration, all such assignments shall be reported to the Provost by the dean of the college.
  - All special assignments for research/creative activities and service activities shall be made on a tentative basis not later than two months prior to the registration date for the next semester. Such assignments may be finalized during the registration process. Preference shall be given to those projects that may be pursued during the semester of least enrollment for the particular department.
- Special faculty assignments that involve an adjustment of teaching load for administrative responsibilities within a department or college fall in a separate category and must be approved in advance by the dean of the college and the Provost.

Full workloads for department heads and deans are distributed across teaching, research/creative activities, service and administrative duties. The college dean in accordance with the published guidelines/policies of the college determines specific individual assignment for department heads and assistant/associate deans.

For details of summer teaching load and compensation see academic policy 1.212V on the [Academic Affairs Policies page](#). Faculty members are reimbursed for teaching during the summer according to the current rate published by Academic Affairs.

**II.C. Academic Freedom:** The University subscribes to the following principles: (1) faculty members are entitled to freedom in the classroom in discussing their disciplines and in selecting teaching aids and library materials; (2) faculty members are entitled in their areas of specialization to freedom in research and investigation and in the publication of results; and (3) faculty members are entitled to freedom in participating as responsible citizens in community affairs.

Academic freedom is the freedom to teach, both in and outside the classroom, to research and to publish the results of those investigations, and to address any matter of institutional policy or action whether or not as a member of an agency of institutional governance. Professors should also have the freedom to speak to any matter of social, political, economic, or other interest to the larger community, subject to the academic standard of conduct set forth in paragraph D below.

The above statement is not to be interpreted as protective of an incompetent or negligent faculty member, nor does it prevent the University from evaluating the work of each faculty member according to the published criteria and guidelines of the University and college.

**II.D. Professional Conduct:**

Faculty members are an essential component of the University's mission to produce academically prepared graduates. Faculty members must understand and accept their role in the educational process and recognize that with that role come certain responsibilities to its constituency. At WKU, faculty must strive to:

- encourage free exchange of ideas;
- protect academic freedom;
- demonstrate respect for students and colleagues as individuals;

- foster academic integrity and assure students are being appropriately evaluated on the merits of their performance;
- adequately communicate expectations in the classroom;
- maintain a classroom environment conducive to learning and free from intimidation and disruption;
- respect the confidential relationship between the faculty member and the student;
- avoid exploitation, harassment or discrimination in the performance of professional responsibilities;
- acknowledge significant research assistance from students;
- serve as an intellectual guide and academic counselor; and,
- abide by Kentucky law and University rules and regulations.

(Adapted from 1966 Statement on Professional Ethics, issued by the American Association of University Professors, revised 1987).

**II.E. Professional Growth:** It is the policy of the University to encourage the continuous professional growth and development of its faculty members through additional graduate study, research/creative activity, membership in professional organizations, and attendance at professional meetings and workshops. Requests for leaves of absence for continued study or professional improvement are carefully considered. Persons with less than the generally recognized terminal degree in their area of specialization are encouraged to continue work toward that degree whenever possible. In general, the University expects individual faculty members to take the initiative in identifying and meeting their own professional growth needs.

**II.F. Professional and Learned Societies:** The University encourages faculty members to join and participate in the activities of professional organizations, associations, and societies.

It is not the policy of the University, however, to allow departmental funds to be used for individual membership fees, dues, or other assessments of such groups.

**II.G. Research/Creative Activity and Publication:** The University encourages faculty members to engage in research/creative activity, and to publish their research efforts whenever possible. Faculty members are completely free to undertake research investigations in their area of specialization. However, research for outside agencies and for pecuniary return must not interfere with regular University duties, and the department head and the college dean should be informed of such activities. In the case of Pedagogical Faculty appointments see academic policy 1.199V on the [Academic Affairs Policies page](#). For information relating to research funding options, visit the Office of Sponsored Programs web page at: <http://www.wku.edu/sponsoredprograms/>.

**II.H. WKU's Regional Stewardship Program:** This program emphasizes student or civic engagement as an essential component for success in a global society. This important component is one that enhances the education offered by the University faculty and provides a distinguishing student learning feature to the "WKU experience." Faculty accept the responsibility of encouraging students to view their education as directly tied to their own lives beyond the classroom and for students to see their continuing responsibilities as citizens of a broader community.

**II.I. Faculty and Staff Meetings:** Meetings of the faculty and staff are held periodically. These meetings are devoted to matters of professional interest, announcements, and business affairs of concern to the University. Called meetings are held as circumstances require. It is an assigned responsibility for each member of the faculty and staff to attend these meetings in person or electronically as authorized.

**II.J. Commencement and Other Convocations:** All faculty members are expected to participate in the formal convocations of the University and to wear academic regalia when appropriate. Specifically, each full-time faculty member should participate in at least one of the annual commencement ceremonies.

**II.K. Course Syllabi and Student Performance Procedures:** Course syllabi serve an important role in providing students with information about the scope, objectives, and expectations of a course as well as providing basic schedule and instructor information.

The University's syllabus policy (No.1.406V) can be found on the [Academic Affairs policies page](#). Major components of the policy are summarized below.

Faculty members should make basic information about their courses available to students online, on the University's official course registration website, at least one week prior to the start of the semester in which the course is to be taught. This information should include:

- contact information for the instructor
- general course goals
- major topics to be covered in the course
- prerequisites, if any
- if applicable, the ways in which the course fulfills general education requirements

A printed or printable syllabus containing more detailed information must be made available to students, in class and/or on the University's official course registration website, within one week of the start of the pertinent semester/term/summer session. More detailed information should include the following information as appropriate:

- instructor's office hours
- required materials (e.g., textbooks, calculators, readings, etc.)
- title and/or brief description of graded assignments
- attendance policies
- performance expectations
- the factors to be considered in determining grades and the specific weight to be assigned to each of these factors
- student learning outcomes

Syllabi may be modified due to extenuating circumstances (e.g., cancelled classes). A revised syllabus should be posted on the University's official course registration website as soon as practicable.

A guide to an effective syllabus is available on the WKU Center for Innovative Teaching and Learning website: <https://www.wku.edu/citl/resources/newfaculty/index.php>.

**II.L. Summary Class List:** Summary class lists are made available on TopNet. Students whose names do not appear on the class list are not officially registered. If a student is attending class and the name is not on the class list, it is extremely important that the instructor advise the student to register for the course.

**II.M. Grading System:** In the system of grading employed by the University, the letters A, B, C, D, F, and X are used by faculty members to indicate the achievement or status of students in their courses.

In addition, the letters W, NR, NG, P, IP, FN and ER are used in certain specific circumstances. These letters have the following meanings:

A	Excellent, valued at four quality points for each semester hour
B	Good, valued at three quality points for each semester hour
C	Average, valued at two quality points for each semester hour
D	Below average, unsatisfactory, indicates deficiency, valued at one quality point for each semester hour, but gives credit for graduation provided that with such credits the student's overall scholastic standing is 2.0 or more. In some departments, a course in which a grade of D was awarded may not be counted toward major or minor requirements.
F	Failure, valued at no semester hours completed and no quality points
X	Incomplete
W	Withdrew
NR	No report (A grade was not submitted by faculty member. Due to extenuating circumstances, the instructor was unable to submit final grades for the entire class. The designation "NR" is not to be used as a grade for individual students).
NG	Used for certain laboratory experiences and for maintaining matriculation during the thesis writing process.
P	Pass, Credit is awarded toward a degree, but no quality points are assigned.
IP	In Progress, restricted to specific courses designed to span more than one term. An IP grade unresolved at the end of 3 years after its assignment will be converted to an F.
FN	Failure due to non-attendance (no semester hours earned and no quality points).
ER	Error in reporting, this designation is used by the Office of the Registrar when a final grade is not reported for an individual student.

Credit for a course in which a grade of "F" has been received can only be earned by repeating the course in residence at WKU unless the head of the department in which the course is taken gives prior approval.

A grade of X (incomplete) is given only when some relatively small amount of work is not completed because of illness or some other reason satisfactory to the instructor. A grade of X (incomplete) will automatically become an F unless removed within 12 weeks of the beginning of the next full semester regardless of whether the student re-enrolls. The grade is not to be used under any circumstances as a substitute for F.

At the graduate level, grades lower than C may not be used in meeting degree or non-degree program requirements. Except in the case of theses or specialist projects, the grade of X (incomplete) becomes F on the student's transcript if the work is not completed within 12 weeks of the beginning of the next full semester. Thereafter, the grade point average will include the F. In the case of theses (599) and specialist projects (699), a grade of IP must be reported for each enrollment period prior to submission of the approved thesis or specialist project to the Office of Graduate Studies and Research, after which the grade may be changed.

A student's grades become a part of the official record at the University and are treated confidentially. Except at the student's request, grades will be available only for faculty advisement or other professional uses.

**II.N. Grade Reporting:** It is the responsibility of each faculty member to assign and report a grade for each student who is enrolled in class by the deadline specified on the semester calendar. Final grades are reported electronically via TopNet in accordance with instructions and deadlines issued by the Registrar.

Typically, once reported, a grade may be changed only in case of error in reporting by the instructor and the change must have the approval of the department head. Such changes must be made on the official form provided by the Registrar's Office and made available in the college dean or department office.

Grades will be recorded in the Registrar's Office as reported by the instructor. Students who drop a class within the period indicated for this purpose in the University Calendar will have no grade recorded. After the date on which students may withdraw from a class without a grade, they will be given W or F for the time during which they were in the class as reported by the instructor. In the absence of an official withdrawal, a grade of F will be recorded regardless of the quality of work being done by the student at the time of withdrawal.

Faculty teaching freshmen will also be required to complete a Fifth Week Freshmen Assessment to report freshman performance and attendance status. It is therefore recommended that some graded evaluation for freshmen be accomplished by the end of the first five (5) weeks of the fall and spring semesters to assist faculty with this assessment.

In accordance with the Family Educational Rights and Privacy Act (FERPA), grades may not be posted using the student's name, identification number or other personally identifiable information. Instructors who desire to post final grades or grades for an assignment in some public form must use a system by which the student's unique identifier is known only to the student and the instructor. For additional information on FERPA, see: <http://www.wku.edu/registrar/>

Grades are a part of the official class record of each instructor. It is a policy of the University that an accurate account is kept of the attendance, grades, and other data of the instructor's choosing that will account for student progress. Grade records should be turned in to the department head if work at the University is terminated. Grade records must be retained for one year and then may be destroyed.

**II.O. Tests and Examinations:** During the semester, testing and examination procedures for individual courses are left largely to the discretion of an individual faculty member.

The University provides a schedule of final examinations. All finals must be conducted at the periods scheduled unless different arrangements have been made with the department head and approved by the dean of the college concerned.

**II.P. Academic Advising:** Advisors are assigned to new students after completing the Topper Orientation Program (TOP). Advisors within the Advising and Career Development Center (ACDC) or select academic departments assist students who have chosen a major field of study.

Advisors assist students in selecting courses each semester to fulfill general education requirements, pre-major requirements, and major and minor requirements for graduation. Advisors may also provide career counseling and information relating to professional/graduate school. Advising appointments may be scheduled online through TopNet or another advisor-authorized method.

Students are expected to work with an advisor in conducting an iCAP audit to review progress toward a selected degree. The audit shows all the requirements needed to fulfill a major, minor, or concentration and displays the transfer and WKU courses that have been used to satisfy those requirements. iCAP audits do not apply to students who entered WKU prior to the fall of 2005, students using coursework taken prior to 1990, and/or students who have a degree program already on file. Information and instructions regarding iCAP can be found at: <https://www.wku.edu/registrar/icap>.

Students desiring to change majors and/or change advisors should complete a Change of Major/Advisor Form on TopNet located under the “Student Services/Student Records” menu. This form may require the signature of the advisor and department head.

Additional information on academic advising can be found at: <http://www.wku.edu/advising>.

## **II.Q. Off Campus Learning Experiences:**

**II.Q.1. Field Trips:** Faculty-led field trips sponsored by WKU require compliance with the WKU Field Trip Policy: <https://www.wku.edu/policies/docs/190.pdf>. In addition, faculty must obtain pre-travel authorization regardless of whether WKU reimbursement is involved by completing the Employee Travel Authorization Form, which can be found at <https://intranet.wku.edu/php/prod/WKUForms/source/WKUFormsList.php>.

**II.Q.2. Study Abroad:** Faculty-led study abroad trips sponsored by WKU require compliance with the WKU Faculty-Led Study Abroad Policy Manual: [http://www.wku.edu/studyabroad/faculty/faculty\\_led](http://www.wku.edu/studyabroad/faculty/faculty_led).

In addition, faculty must obtain pre-travel authorization regardless of whether WKU reimbursement is involved by completing the Employee Travel Authorization Form which can be found at: <https://intranet.wku.edu/php/prod/WKUForms/source/WKUFormsList.php>.

**II.Q.3. Insurance:** General information regarding faculty and student insurance coverage provided by WKU for approved off-campus learning experiences can be found at: <http://people.wku.edu/deborah.wilkins/StudyAbroadOffCampusLiabilityStatement.pdf>.

In addition, insurance information relevant to study abroad experiences only can be found at: <https://www.wku.edu/studyabroad/exchange/insurance.php>.

Faculty members are strongly encouraged to review these WKU policies in their entirety before embarking on any off-campus learning experience.

**II.R. Extracurricular Duties:** Faculty members are expected to contribute to the University community by participating in extra-curricular functions, by serving on campus committees, and by acting as faculty sponsors and advisors to student organizations.

**II.S. Office Hours:** Faculty members are expected to post class schedules and office hours. Faculty members have a responsibility to provide to the department head and students each semester their office hour schedule. Inability to meet classes or to maintain office hours should be reported to the department head.

**II.T. Notification of Absence:** All faculty members are expected to meet their classes regularly and promptly at the scheduled time. The department head should be notified immediately of illness, death in the family, or other emergencies necessitating absence from the campus. For additional information regarding WKU’s policy for medical leave, see Policy 4.620V on the [Human Resources Policies](#) page.

**II.U. Faculty/Student Relationships:** Sexual relations between students and faculty members are fraught with the potential for exploitation, and therefore expressly prohibited. The respect and trust accorded a professor by a student, as well as the power exercised by the professor in an academic or evaluative role, make voluntary consent by the student suspect. Further, these relationships might be less consensual than the individual whose position confers power or authority believes.

Even when both parties initially have consented, the power differential between faculty and student may make it difficult for the student to end a relationship for fear of retribution. The development of a



dating and/or sexual relationship renders both the faculty member and the institution vulnerable to possible later allegations of sexual misconduct (e.g. sexual harassment, sexual assault) due to the significant power differential that exists between faculty members and students.

In their work-related relationships with students, members of the faculty are expected to be aware of their professional responsibilities and avoid apparent or actual conflict of interest, favoritism, or bias. A relationship between a faculty member and a student whom the faculty member evaluates, advises, or supervises, is expressly prohibited. A relationship between a student and a faculty member in their department who does not directly evaluate, advise, or supervise or in another department at WKU is strongly discouraged.

Pre-existing relationships (e.g. marital or Other Qualified Dependents) as defined by HR policy 4.230V are subject to the reporting requirements in Section III and may present a conflict of interest.

For pre-existing relationships that exist between a faculty member and a student whom the faculty member is subsequently assigned to evaluate, advise, or supervise, the faculty member must disclose the consensual relationship to their immediate superior (normally the department head/chair or college dean) and make arrangements to avoid the advising, supervising, evaluating, or grading responsibilities for the consensual partner as described in HR Policy 4.230V. If a dating or sexual relationship develops between a faculty member and a student for whom the faculty member does not advise, supervise, or evaluate, the faculty member needs to report the relationship to their department head.

This policy should not be construed to supersede any existing, applicable federal or state statutes.

Consensual and non-consensual relationships are addressed in the University's Discrimination and Harassment Policy (0.204V), and Title IX Sexual Misconduct/Assault Policy (0.207V).

Failure to act in accordance with this policy may result in personnel and/or disciplinary action. Confidentiality regarding consensual relationships will be maintained in so far as possible.

**II.V. Sexual Harassment Education/Training:** WKU is committed to providing a working and learning environment that is free from sexual harassment, and it is the policy of this University that sexual harassment in any form will not be tolerated. Management and supervisory personnel, at all levels, are responsible for taking reasonable and necessary action to prevent sexual harassment. All members of the University community, employees, and students are required to promptly report conduct that could be in violation of this policy. The University policy and reporting procedures (Policy 0.204V) can be found on the Human Resources Policies page: <https://www.wku.edu/policies/human-resources/>.

**II.W. Outside Employment and Consultation:** Normally, the primary responsibilities of the faculty member include classroom teaching, student advisement, research/creative activity, work on faculty committees and similar duties. However, faculty members may undertake responsibilities above and beyond these duties with disclosure to the University. It is assumed that preparation for and involvement in such activities will not interfere with the faculty member's primary responsibility to the University and that care will be taken to ensure proper fulfillment of these obligations. The following guidelines govern such additional workload activities:

**II.W.1. Extra-University consulting and other professional activity:** Institutions of higher education and their professional employees are obligated to encourage and assist with the transfer of knowledge from the University community to society in general. Activities such as those, which are the subject of this policy, are a primary means of accomplishing this goal. In addition, such activities provide the opportunity for individual professional development and enhancement of job satisfaction by those participating in them.

It is the purpose of this policy to establish as an integral part of the University program a means by which faculty and other personnel may participate in professional consulting and service activities while full-time employees of the University.

Participation in such activities will be according to procedures outlined below, provided the purposes of the activity are clearly identified and are found to be consistent with this and other University policies.

Definitions: For the purpose of this policy, extra-University consulting and other professional activity shall include those professional services provided by an individual employee to an individual, agency, or firm for a salary or for a fee.

Such activity will not normally involve the use of University material, equipment, or services; neither shall the name or image of the University be used in any manner to suggest institutional endorsement or support of a non-University enterprise. Requests for participation in outside professional assignments that do involve use of other University personnel, facilities, material, or equipment should be performed on a contractual basis through the University rather than on an individual consulting basis.

Excluded from this policy are outside summer consulting and employment activities by nine-month faculty members who have no summer term teaching responsibilities and who seek to participate in such activities during the period after spring commencement and prior to the beginning of the ensuing fall term.

Also excluded from this policy are those "occasional or incidental" professional activities that do not conflict with the spirit or intent of this policy and the procedures for implementing it. "Occasional or incidental" professional activities are one-time activities or services to organizations other than the University, such as participation on agency proposal review panels; site visit teams' voluntary services to professional organizations; delivery of occasional lectures or seminars at other institutions; office or telephone consultations of a brief duration or nature; reading and evaluation of manuscripts or writing reviews; and serving as an expert witness or rendering of professional opinions in depositions. Since consulting activities may be a component of faculty evaluation in the area of public service, it is the responsibility of the individual employee to report consulting activities to the administrative unit head regarding involvement in such occasional and incidental services.

Procedures: The variety of outside employment and consulting situations available to the professional and the potential of these activities to detract from the services contracted to the University require that each applicant and their superior examine carefully each opportunity on an individual basis.

Participation in activities covered by this policy must meet all of the following conditions:

- a. The purposes of the activity contribute to and are consistent with those programs of the participant's department or unit.
- b. other normal University duties and responsibilities can be met without reassignment to others.
- c. There is no conflict of interest or commitment involved.

To initiate the request for approval, the employee must complete the standard form designed for that purpose. The following information must be provided: the specific nature of the work to be performed and its relationship to ongoing University purposes; an estimate of the amount of time involved; the duration (and, if appropriate, the frequency) of the services to be provided (hours, days, or months); and the specific hours, days or months involved. This form, Faculty and Academic Administrators – Outside



Employment and External Consulting Approval Form, can be found at:  
<https://intranet.wku.edu/php/prod/wkuforms/source/WKUFORMSlist.php>.

The request for prior approval shall be submitted for review to the participant's administrative unit head, who will subsequently forward it through channels with a recommendation to the appropriate vice president. Such requests shall become a matter of University record maintained in the office of the Provost.

That office shall review each request and the accompanying recommendations and approve them, provided they are consistent with the provisions of this and other University policies and related administrative procedures. The participant and those reviewing the request will be provided written notification of action by the vice president.

Semi-annually the Provost shall report to the President a summary and analysis of requests received including a list of those approved and disapproved.

When activities covered by this policy are of a continuous or prolonged nature (one semester or more) or when one person requests participation in more than one such activity during an academic term, careful consideration must be given to the proposed schedule of services as they relate to designated responsibilities of the University employee. Any long-term involvement is subject to periodic review by the University, and a request for approval must be filed at least annually (preferably at the start of each academic year). The frequency and duration of professional activities shall be the primary considerations in the review process.

Limitations: Individuals subject to this policy whose annual working appointments are for a period of 9 or 10 months are provided up to four (4) working days per full calendar month for participation in the activities covered by this policy during their annual appointment. For individuals holding a nine- or ten-month annual appointment who assume summer term responsibilities with the University, one additional day per full calendar week employed during the term of summer is available to participate in activities covered by this policy.

University personnel subject to this policy who receive annual appointments of 11 or 12 months are allowed up to four (4) working days in the calendar month to participate in the activities covered by this policy. Because of the importance of persons holding executive, administrative, and managerial positions to the daily operation of the University, these persons are urged to limit such activities to periods when the University is not in session and their services are less likely to be required.

Implementation and interpretation: It is the intent of this policy to provide a framework within which decisions regarding the use and availability of University resources can be made. The employee-employer relationship that exists between the University and its duly appointed personnel also provides a basis for decisions regarding activities, which are the subject of this policy. It is, therefore, the obligation of each person seeking to participate in such activities and their supervisors to share the responsibility for following the procedures outlined above.

#### **II.W.2. Internal consulting, participation in funded projects and supplemental pay.**

This policy establishes a means by which faculty and other professional staff may participate in intra-University consulting and service activities while full-time employees of the University. Activities such as those, which are the subject of this policy, provide the opportunity for individual professional development of those participating in them and are strongly encouraged.

Policy: It is the policy of the University that incidental internal consulting is normally considered to be included in the base pay of faculty, professional non-faculty, executive, administrative, and managerial personnel. Additional or supplemental compensation is allowable in those unusual cases when all of the following circumstances exist:

- Services are performed in addition to those associated with the person's salaried employment.
- Services are provided across departmental lines.
- Prior approval of the University has been obtained.

The rate of compensation for intra-University consulting must be consistent with the fee or rate that normally would be paid to persons from outside the University with equivalent credentials who would provide the same services. In setting the rate of compensation, careful consideration must be given to possible sources of documentation that will indicate that the fee recommended for the University employee is not more than that charged by external consultants.

Procedures: All requests for advance approval of internal consulting must be submitted to the administrative unit head or director and forwarded through the appropriate dean or supervisor to the appropriate vice president. The President will act upon the request after receiving the recommendations provided by the vice president.

Supplementary pay for responsibilities accepted that relate to the program and operation of a departmental unit during the summer term is covered under other policies and procedures.

Except as cited above, all other supplemental pay, including that for participation in funded projects, shall be processed as a part of the regular payroll distribution system (including appropriate withholding and University contributions). For faculty members and others covered by this policy who participate in projects funded by a state, federal, or other external agency, prior approval of the University must be obtained through the established administrative channels.

When considering requests for involvement in activities for which supplemental pay will be provided, the faculty member and each administrator must carefully examine the extent of the involvement in view of other University responsibilities, extra-University consulting, and other professional activities. In the event that the total professional involvement of the participant will equal or exceed the normal University load by 25 percent over a period of any one semester, an adjustment in workload will be made or the request will be denied. In either event, a written justification will be forwarded to the President for final consideration. A record of action and justification will be placed in the University official files maintained by the appropriate vice president.

**II.X. Faculty Evaluation** - Each faculty member is evaluated by the department head on the bases of effectiveness as a teacher; relationship with students and with colleagues; participation in departmental, college and University activities; research/creative activities; University and public service; and continuing professional development according to the standards and guidelines established by each college department.

Based on the annual evaluation, faculty members may receive merit pay from the University, college and department levels. Each department may receive a set merit pool from its college. Using the annual performance review, department heads create their own system for designating merit levels among faculty members. Department heads shall make every effort to explain the criteria for specific merit levels during the annual performance review. Raises given above or below certain thresholds must be justified in writing. Department heads may also make a recommendation to their dean for a faculty member to receive merit increases from the college pool and deans may do the same from the Provost's merit pool.

The department head forwards a recommendation relative to salary increment to the college dean, who makes a similar evaluation and forwards their recommendation and the recommendation of the department head to the Provost. The President receives a recommendation from the Provost and forwards their own recommendation to the Board of Regents, which makes the final decision on such matters. Merit amounts may be adjusted at any level during this process.

All non-tenured and tenure eligible faculty members are evaluated annually. For tenure eligible faculty members, a specific evaluation of their progress toward tenure is also completed each year. For tenured faculty members an annual post-tenure review is conducted.

Faculty members who participate in the evaluation of other faculty members must avoid a conflict of interest in order to ensure a fair and objective evaluation.

If a familial relationship (including spouse or domestic partner) or financial relationship exists or has existed between two faculty members, neither shall participate in the evaluation of the other for purposes of continuance, tenure, or promotion recommendations or annual evaluation.

A “financial relationship” is a relationship between two faculty members that could allow one to significantly benefit or suffer financially, either directly or indirectly, from a decision on the continuance, promotion or tenure of the other.

When there is a question as to what constitutes a conflict of interest, any committee member with the potential conflict of interest shall consult prior to the committee convening its work with the department head for a determination. If the conflict of interest involves the department head, then consultation shall occur with the college dean.

### **III. FACULTY PROMOTION**

#### **III.A. Introduction:**

Faculty rank and promotion in rank at WKU are based on the criteria below, as adopted by the Board of Regents.

Rank is granted on the basis of academic qualifications, experience and demonstrated achievement. The criteria stated below shall serve as guides in assigning academic rank. Exceptions to these criteria may be made in situations where the candidate shows exceptional credentials in the areas of (a) academic qualifications; (b) experience; or (c) sustained achievement in teaching effectiveness, research and creative activity, and University/public service. Experience at rank is normally considered to be at WKU. Previous service at an accredited higher-education institution or equivalent professional experience may be substituted for years of service at WKU, if negotiated in writing at the time of initial appointment or within the first appointment year.

The department head and departmental faculty within each academic unit have the responsibility of developing specific criteria for determining what constitutes “sustained achievement” for each rank. These criteria must conform to the minimum University standards listed below and must be made publicly available in hard or e-copy form. Guidelines for all ranks must be recommended by the department head, dean, and the Provost. Academic Affairs and the colleges receiving reassigned faculty for any circumstance are committed to protecting the faculty member’s tenure and promotion rights, and will abide by processes set forth in the Faculty Handbook under which they were hired and/or any pre-existing agreement – for example a letter of appointment – that may be relevant to individual faculty members.

If any due dates fall on a weekend or university holiday, then the due date will be moved to the next business day.

#### **III.B. Criteria for Individual Ranks (Non-tenure-eligible):**

**III.B.1. Clinical Faculty Member:** a continuing, non-tenure-eligible faculty member whose primary responsibilities include teaching and supervision of students in a practice setting; scholarship undertaken is generally assumed to be oriented toward scholarship of application. For more information, please see academic policy No. 1.198V.

- a. Clinical Professor:
  - i. Academic Qualifications: terminal degree in the profession;
  - ii. Experience: a minimum of five years at the rank of Clinical Associate Professor before a faculty member is eligible to apply for promotion;
- b. Clinical Associate Professor:
  - i. Academic Qualifications: earned Master of Arts or Master of Science degree in the profession;
  - ii. Experience: a minimum of five years at the rank of Clinical Assistant Professor before a faculty member is eligible to apply for promotion (may be waived for persons holding additional qualifications)
- c. Clinical Assistant Professor:
  - i. Academic Qualifications: earned Master of Arts or Master of Science degree when this does not represent the terminal degree.

**III.B.2. Research Faculty Member:** a continuing, non-tenure-eligible faculty position that is externally funded and self-supporting. A research faculty member is engaged primarily in research, creative activity and/or outreach. Research faculty should be engaged in a program of research, creative activity or outreach that complements that of the department.

Research faculty are expected to bring a high level of conceptual and theoretical ideas to the tasks at hand and have innovative skill sets that enhance the intellectual development of their colleagues.

- a. Research Professor:
  - i. Academic Qualification: earned doctorate, or other terminal degree or the equivalent;
  - ii. Experience: a minimum of ten years research experience in an appropriate discipline at a university, industrial or government laboratory, or other appropriate setting before a faculty member is eligible to apply for promotion.
  - iii. Sustained excellence in scholarship that has made a substantive impact in the discipline, resulted in national or international recognition, and produced a sustained history of extramural funding.
- b. Associate Research Professor:
  - i. Academic Qualifications: earned doctorate, or other terminal degree or the equivalent;
  - ii. Experience: a minimum of five years of research experience at a university, industrial or government laboratory, or other appropriate setting before a faculty member is eligible to apply for promotion;

- iii. Achievement of a regional or national reputation, with consistent extramural funding and demonstrated independence in program leadership.
- c. Assistant Research Professor:
- i. Academic Qualifications: earned doctorate, or other terminal degree or the equivalent;
  - ii. Demonstrated achievement in appropriate discipline, including a basic level of leadership competence and ability to serve as the principal investigator / program director on funding proposals.

**III.B.3. Instructor Ranks:** Instructor ranks are designed for faculty in ongoing, non-tenure eligible faculty positions whose primary responsibility is teaching, but who may also have secondary responsibilities. In some instances, a senior instructor may substitute an expectation of research or creativity for some service.

- a. Senior Instructor
- i. Academic qualifications: master's degree or baccalaureate degree with additional professional qualifications per Policy 1.111V.
  - ii. Experience: minimum of eight years' service at the rank of Instructor II or equivalent before a faculty member is eligible to apply for promotion. For individuals holding an appropriate terminal degree, this is reduced to a minimum of six years of service at the rank of Instructor II or equivalent before a faculty member is eligible to apply for promotion.
  - iii. Demonstrated achievement appropriate for this rank in teaching effectiveness and, when applicable, university/public service. Emphasis is placed upon effective teaching and student engagement.
- b. Instructor II
- i. Academic qualifications: master's degree or baccalaureate degree with additional professional qualifications per Policy 1.111V.
  - ii. Experience: a minimum of six years of service at the rank of Instructor I or equivalent before a faculty member is eligible to apply for promotion.
  - iii. Demonstrated achievement appropriate for this rank in teaching effectiveness and, when applicable, university/public service. Emphasis is placed upon effective teaching and student engagement.
- c. Instructor I
- i. Academic Qualifications: master's degree or baccalaureate degree with additional professional qualifications per Policy 1.111V.

Faculty members in instructor positions are evaluated annually by the Department Head. The evaluation will include an assessment of the individual's involvement in educational programs, teaching effectiveness, student engagement, and (as appropriate) service contributions.

### **III.C. Criteria for Individual Ranks (Tenure Eligible):**

#### **III.C.1. Faculty Ranks**

##### **a. Professor:**

- i. Academic/Professional Qualifications: the earned doctorate or appropriate terminal degree in the field, or a combination of academic credentials and professional experience recognized by the field and determined by the department/division/college guidelines.
- ii. Academic Experience: a minimum of five years' service at the rank of associate professor before a faculty member is eligible to apply for promotion.
- iii. Sustained achievement appropriate to discipline for this rank in teaching effectiveness, research/creative activity, and University/public service.

##### **b. Associate Professor:**

- i. Academic/Professional Qualifications: the earned doctorate or appropriate terminal degree in the field, or a combination of academic credentials and professional experience recognized by the field and determined by the department/division/college guidelines.
- ii. Academic Experience: a minimum of five years' service at the rank of assistant professor before a faculty member is eligible to apply for promotion.
- iii. Sustained achievement appropriate to discipline for this rank in teaching effectiveness, research/creative activity, and University/public service.

**OR**

- iv. Academic Qualifications: earned master's degree plus advanced graduate study equivalent to all courses except dissertation (ABD) in the appropriate discipline.
- v. Academic Experience: a minimum of ten years' service at the rank of assistant professor before a faculty member is eligible to apply for promotion.
- vi. Sustained achievement appropriate for this rank in teaching effectiveness, research/creative activity, and University/public service.

##### **c. Assistant Professor:**

- i. Academic/Professional Qualifications: the earned doctorate or appropriate terminal degree in the field, or a combination of academic credentials and professional experience recognized by the field and determined by the department/division/college guidelines, or the master's degree plus at least twenty-four semester hours of graduate work related to the faculty member's academic area.



- ii. Academic Experience: a minimum of three years' service at the rank of instructor (may be waived for persons holding doctorate) before a faculty member is eligible to apply for promotion.
- iii. Sustained achievement appropriate to discipline for this rank in teaching effectiveness, research/creative activity, and University/public service.

### **III.C.2. Pedagogical Faculty Ranks**

Per Policy 1.199V Pedagogical Track Faculty: The process of creating a pedagogical faculty position shall be initiated by a department head or unit director only after a majority vote in favor of such a position by the tenure-eligible faculty within that unit.

#### **a. Pedagogical Professor:**

- i. Academic/Professional Qualifications: the earned doctorate, or appropriate terminal degree to the appointment, is required; substitutions to this requirement may not be made (per Policy 1.199V).
- ii. Academic experience: a minimum of five years' service at the rank of pedagogical associate professor before a faculty member is eligible to apply for promotion.
- iii. Sustained achievement appropriate to discipline for this rank in teaching effectiveness and university/public service. The university does not require pedagogical faculty to engage in scholarly research; however, pedagogical faculty are encouraged to contribute to the understanding and practice of teaching and to disseminate their contributions in publications, presentations, and other forms of dissemination.

#### **b. Pedagogical Associate Professor**

- i. Academic/Professional Qualifications: the earned doctorate or appropriate terminal degree in the field, or a combination of academic credentials and professional experience recognized by the field and determined by the department/division/college guidelines.
- ii. Academic experience: a minimum of five years' service at the rank of pedagogical assistant professor before a faculty member is eligible to apply for promotion.
- iii. Sustained achievement appropriate to discipline for this rank in teaching effectiveness and university/public service. The university does not require pedagogical faculty to engage in scholarly research; however, pedagogical faculty are encouraged to contribute to the understanding and practice of teaching and to disseminate their contributions in publications, presentations, and other forms of dissemination.

**OR**

- iv. Academic Qualifications: earned master's degree in the appropriate field plus significant experience in teaching at the college level.

- v. Academic Experience: a minimum of ten years' service at the rank of pedagogical assistant professor before a faculty member is eligible to apply for promotion.
- vi. Sustained achievement appropriate to discipline for this rank in teaching effectiveness and university/public service. The university does not require pedagogical faculty to engage in scholarly research; however, pedagogical faculty are encouraged to contribute to the understanding and practice of teaching and to disseminate their contributions in publications, presentations, and other forms of dissemination.

**c. Pedagogical Assistant Professor**

- i. Academic/Professional Qualifications: the earned doctorate or appropriate terminal degree in the field, OR a master's degree in an appropriate field plus significant experience in teaching at the college level.
- ii. Academic experience: a minimum of three years' service at the rank of instructor (may be waived for persons holding a doctorate) before a faculty member is eligible to apply for promotion. Per Policy 1.199V Pedagogical Track Faculty: There is no provision for "transfer" to or from a pedagogical track position and a position in another faculty track. Appointment to a position in any faculty track requires appointment de novo in that position and resignation from any previously held position at WKU.
- iii. Sustained achievement appropriate to discipline for this rank in teaching effectiveness and university/public service. The university does not require pedagogical faculty to engage in scholarly research; however, pedagogical faculty are encouraged to contribute to the understanding and practice of teaching and to disseminate their contributions in publications, presentations, and other forms of dissemination.

**III.D. Criteria for Promotion Recommendations: (Tenure Eligible Ranks Only)**

**III.D.1. General:** Promotion decisions at WKU are made at six levels: recommendations from the department/division peer review (which may include internal and/or external letters of recommendation), the department head, the academic dean, the Provost, the President, and approval by the Board of Regents.

Review at all levels will apply the standards for promotion set by the University. The academic deans will establish and preserve for the various disciplines levels of achievement that equalize the rigor with which candidates from different departments/divisions are judged. The standards developed by each academic department/division must be in compliance with the standards stated here and should serve to state explicitly the requirements for promotion within a specific department/division. As standards for promotion change, faculty seeking promotion to Associate Professor shall follow University, College, and Departmental standards on the employment starting date as indicated in the formal letter of appointment.

Promotion decisions at every rank are based on sustained achievement appropriate for that rank in the areas of teaching effectiveness, research/creative activity, and University/public service. Sustained achievement in the candidate's entire body of work is considered, but only as it is relevant to the individual's area of professional competence. Further, an emphasis is placed on contributions since the



last set of successful promotion materials were submitted for consideration. It is the responsibility of the candidate seeking promotion to provide promotion committees with the appropriate evidence on which to base a decision. Departments/divisions will develop specific quantitative and qualitative criteria appropriate to their disciplines in the areas of teaching effectiveness, research/creative activity and University/public service. Evaluation of all areas, both at the departmental levels and at the academic deans' levels, will take these criteria into consideration.

Academic Affairs and the colleges receiving reassigned faculty for any circumstance are committed to protecting the faculty member's tenure and promotion rights, and will abide by processes set forth in the Faculty Handbook under which they were hired and/or any pre-existing agreement – for example a letter of appointment – that may be relevant to individual faculty members. Further, Associate Professors who are reassigned to a different unit for any reason may choose to follow the standards of promotion to Professor in their unit of origin or the standards in the receiving unit.

### **III.D.2. Academic Qualifications:**

- a. See University Rank and Promotion Requirements (Section C).
- b. In some areas, professional certification and the related license to practice may be required.

### **III.D.3. Areas of Performance:**

- a. Teaching Effectiveness: evidence in this area includes, but is not limited to the following:
  - i. An evaluation of both the systematic organization of appropriate materials for presentation and communication to students of course objectives, plan of study, and means of student performance evaluation.
  - ii. An evaluation of the effectiveness of presentation by lecture, discussion, assignment and recitation, demonstration, laboratory exercise, practical experience, consultation, field trips, computer-assisted instruction, reading lists, audiovisual materials, simulations, and games.
  - iii. An evaluation of assessment procedures such as tests, grading practices, and clinical performance.
  - iv. An evaluation of professional responsibilities such as in meeting classes; holding office hours; providing academic advising to students; returning materials in a timely fashion; making clinical assignments; supervising students; and treating students in a fair, impartial and respectful manner.
  - v. An evaluation of the effectiveness with which students are stimulated to develop critical and/or creative abilities and intellectual curiosity by such means as independent study or thesis projects.
  - vi. An evaluation of the knowledge of recent discoveries and literature in the field; the use of the latest scientific/technological innovations; participation in professional activities, such as training programs, technical seminars and self-study programs.
  - vii. Student feedback from course appraisals; student performance on departmental exams; comments from peers, students and alumni.

- viii. An evaluation of cooperation in developing, scheduling, and teaching general undergraduate and graduate courses on and off campus.
  - ix. An evaluation of the development of textbooks, workbooks, manuals, tapes, slides, online materials, other print and non-print learning resources developed primarily for classroom use.
  - x. An evaluation of the success of students on uniform examinations, in acceptance to graduate and professional programs, in winning awards, in job placement, or in other highly significant achievements.
  - xi. Documentation of direct assistance in helping students find appropriate employment.
  - xii. Development or use of web-based courses, study abroad and other international academic programs.
- b. Research/Creative Activity (research/creative activities are not an expectation for Pedagogical faculty): Evidence in these areas may include, but is not limited to, the following:
- i. Publication of books, monographs, articles, maps, bibliographies, indexes, catalogs, textbooks, and papers in professional journals; production or direction of non-print media work; reports to federal, state or local agencies; cases.
  - ii. Presentations of papers, cases, and media productions at professional and other scholarly meetings.
  - iii. Participation in studies, programs, and creative activity supported by extramural funds.
  - iv. Production and display of musical compositions, paintings, sculpture, ceramics, weaving, photographs, graphics and other works of art; recitals, choreography, stage design and construction, costuming, direction; production of film and videotaped materials.
  - v. Inventorship or co-inventorship leading to U.S. and/or other patents.
  - vi. Participation in the development of innovative curricular materials, such as curriculum guides, computer-assisted instruction, online resources, software, lab equipment, audiovisual materials, manuals, workbooks, tools or models which break new ground and successfully advance concepts, ideas and approaches that transcend ordinary instructional material.
  - vii. Invitations to conduct research at other universities or research-oriented agencies; to prepare questions for professional examinations.
  - viii. continuation of current research or other creativity not yet resulting in publication, performance, or display.
- d. University/Public Service: Evidence in these areas may include, but is not limited to, the following:

- i. Service on departmental, college, and University committees, councils, and senates; in appropriate professional organizations as officers, editors, or referees; to local, state and/or national governmental and advisory boards, agencies, commissions; to business and industry or private citizens as technical expert or member of policy advisory committees; as organizers/directors of seminars, workshops and/or other conferences.
- ii. Participation in meetings, symposia, conferences, workshops; in radio and/or television by developing and presenting materials for public awareness; conducting or performing.
- iii. Work with schools through contact with teachers, administrators, and students; through participation in science fairs, college day programs, lectures, performance, in-service programs; through advising on curricular matters, and pedagogy.
- iv. Direction of internships, cooperative education, practicals; learning laboratories; professional clubs and other organizations.
- v. Advisement to student organizations.
- vi. Preparation of grant proposals for instruction, research, and administrative support activities.
- vii. Provision of professional services to individuals, groups, and the community.

**III.D.4 Levels of Performance:** Pedagogical faculty appointments do not carry an expectation of involvement in research/creative activity. In recognition of this, such pedagogical faculty members will normally have a teaching load higher than that of tenure eligible faculty members in their unit who carry responsibilities in both teaching and research (per Policy 1.199V Pedagogical Track Faculty).

- a. Promotion to Professor/Pedagogical Professor:
  - i. Teaching Effectiveness: a sustained record of exceptional and high-quality performance according to department/division standards. Per Policy 1.199V, a pedagogical professor is typically an individual who has had significant impact on the pedagogical activities of the university college, or department, or who has achieved a regional, national or international reputation for such.
  - ii. Research/Creative Activity: a tangible record of exceptional and high-quality performance as described in Section III.D.3.b.
  - iii. University/Public Service: a tangible record of exceptional and high-quality performance.
- b. Promotion to Associate Professor/Pedagogical Associate Professor:
  - i. Teaching Effectiveness: a tangible record of excellent performance according to department standards. Per Policy 1.199V, a pedagogical associate professor is typically an individual who has established a high level of pedagogical competence, and an established track record of such excellence.

- ii. Research/Creative Activity: a tangible record of exceptional and high-quality performance as described in Section III.D.3.b.
- iii. University/Public Service: a tangible record of excellent performance.

### **III.E. Procedures for Recommending Promotion: (Tenure Eligible Ranks Only)**

**III.E.1. Notice of Upcoming Promotion Review:** To initiate consideration of candidates for promotion, the head/chair of the department/division annually informs all faculty members that a promotion review is forthcoming and invites candidates to supply all relevant information by a specific date if the candidates believe they qualify for consideration under the criteria stated above. After the candidate submits all relevant evaluation materials for consideration by the October 1 deadline, nothing may be added or removed from these materials except the addition of recommendation letters.

#### **III.E.2 Promotion Committee**

##### *a. Promotion to Associate Professor/Pedagogical Associate Professor*

If there are candidates for promotion to the rank of Associate Professor/Pedagogical Associate Professor, the academic department establishes a Promotion Committee consisting of all tenured members of the department with rank higher than that of the candidate, excluding those ineligible to serve (see Section III.E.2.c below). All promotion committees considering applications for the rank of Associate Professor/Pedagogical Associate Professor must have at least five (5) members. For departments with fewer than five eligible tenured faculty at the rank of Associate or above, the dean will add tenured faculty from other departments to bring the membership to five. These additional members need not be the same for each candidate for promotion.

The dean, in consultation with the department head, will develop a list of eligible tenured faculty at the rank of Associate or above, the number of which shall be two (2) more than the number of additional members necessary to bring the Promotion Committee membership to five.

Unless necessitated by an insufficient number of individuals with the rank of Associate or above within the candidate's college, no more than two individuals on this list may be from a department outside the candidate's college. The candidate may eliminate one name, and the dean makes the final appointments from the remaining names in order to bring the committee membership to five.

In selecting individuals to bring the committee membership to five, the dean must consider those with the best fit for the specific candidate in order to enhance the promotion process.

##### *b. Promotion to Professor/Pedagogical Professor*

If there are candidates for promotion to the rank of Professor/Pedagogical Professor, the department establishes a Promotion Committee composed only of tenured Professors/Pedagogical Professors, excluding those ineligible to serve (see Section III.E.2.c below).

All promotion committees considering applications for the rank of Professor/Pedagogical Professor must have at least five (5) members. For departments with fewer than five tenured Professors/Pedagogical Professors, the dean will add tenured Professors/Pedagogical Professors from other departments to bring the membership to five. These additional members need not be the same for each candidate for promotion.

The dean, in consultation with the department head, will develop a list of tenured Professors/Pedagogical Professors eligible to serve, the number of which shall be two (2) more than the number of additional members necessary to bring the Promotion Committee membership to five. Unless necessitated by an insufficient number of individuals with the rank of Professor within the candidate's college, no more than two individuals on this list may be from a department outside the candidate's college. The candidate may eliminate one name, and the dean makes the final appointments from the remaining names in order to bring the committee membership to five.

In selecting individuals to bring the committee membership to five, the dean must consider those with the best fit for the specific candidate in order to enhance the promotion process.

Each Promotion Committee elects a chair. The department head serves as an ex-officio, nonvoting member of each committee, except in cases where the department head is a candidate for promotion.

Tenured faculty members who are unable to participate in person or via electronic means in the meeting must notify the department head in advance and may submit a sealed envelope with comments for each person under review, which will be shared with the department chair and with committee. Anyone participating in the meeting from a remote location must ensure the confidentiality of the meeting.

Absentee ballots can be cast. However, committee members intending to submit absentee ballots must notify the department head in advance. And the department head must establish a deadline prior to the committee meeting for submitting absentee ballots. Those ballots must remain sealed until the committee chair tallies ballots.

#### *c. Individuals Not Eligible to Serve on Promotion Committees*

Committee members who are candidates for promotion are not permitted to be present during deliberations on their rank.

Any faculty member having a conflict of interest as defined in Section II.X is explicitly excluded from service on the promotion committee.

No individual who serves as the head of another department within the candidate's college may serve on a promotion committee for such a candidate.

Any university official with a subsequent role in the promotion process (the dean of that college, the provost, the president), and any individual with an executive/administrative appointment who reports directly to one of those individuals, is excluded from service on a promotion committee.

**III.E.3. Recommendations:** The department/division's Continuance/Tenure (Promotion) Committee meets to review all evaluation materials and to vote on the candidate. Once the committee has met, the committee chair will provide a written memorandum to the department head. This memorandum must include the recommendation of the committee, the number of faculty eligible to serve on the committee, the number of committee members voting, the actual vote count including any abstentions, and a summary of the faculty discussion. The memorandum may also provide additional information deemed relevant to the committee's decision. The committee will be given the opportunity to review, revise and approve the memorandum. The department head also reviews all relevant evaluation materials and produces an individual written recommendation. The contents of any accompanying materials — for example a letter of appointment and workload assignments — used in the committee's deliberations and of all materials accompanying its recommendation shall remain strictly confidential,

except as they are conveyed to members of the faculty and administration whose duties require knowledge of the information.

The department head's/division chair's recommendation, the Promotion Committee's recommendation, and all evaluation materials are forwarded to the college dean.

The college dean forwards an individual written recommendation, the recommendations of the department head and the Promotion Committee, and all relevant evaluation materials to the Provost. The Provost reviews these items and completes a written recommendation, which is forwarded along with all other written recommendations to the President. The President reviews these recommendations and forwards to the Board of Regents their recommendation for promotion. The decision of the Board of Regents is final. During this process, the candidate will be informed each time a recommendation is made to the next higher level.

**III.E.4. Notice of Negative Recommendation:** If a negative recommendation of promotion is made at any level, this fact must be reported back to the preceding levels. The department head must inform the faculty member in writing that a negative recommendation has been made.

In the case of a negative recommendation, the faculty member may withdraw the application or request a review of their credentials and a written explanation of the negative recommendation.

Upon request of the faculty member, the department head, the dean of the college and the Provost will arrange a conference with the faculty member to discuss informally the circumstances surrounding the denial of promotion. If this conference fails to satisfy the faculty member, the President will have a related conference with the faculty member upon request (see Section V. of the Faculty Handbook).

If a candidate's promotion is not recommended to the Board of Regent and they believe that the decision was arbitrary or capricious, violated standards of academic freedom, or was based on considerations that violated protected rights or interests (e.g., consideration of race, sex, national origin, exercise of free speech, association, etc.), a complaint may be filed as described in Section V. of this Handbook. The complaint shall be in writing and be filed within thirty (30) days after receipt of official notice from the President.

### **III.F. Promotion Recommendation Deadlines: (Tenure Eligible Ranks Only)**

**III.F.1. Application:** Faculty members are given the opportunity to apply for promotion in September with a deadline of October 1 for application. Faculty members holding the rank of assistant professor and applying for tenure must also apply for promotion in that year.

**III.F.2. Department Recommendation:** Departments heads are to make recommendations to their respective deans by November 1. In the case of a negative vote by the departmental promotion committee, the faculty member has the option of withdrawing the application or allowing the application to proceed to the department head. If the department head concurs with the negative committee recommendation, the faculty member may withdraw the application or allow the application to proceed to the college level.

**III.F.3. Dean Recommendation:** Deans will make their recommendations to the Provost by December 1. In the case of a negative recommendation by the college dean, the faculty member may withdraw the application or allow the application to proceed to the Provost.



**III.F.4. Provost/President Recommendation/Board Approval:** The Provost will make recommendations to the President by February 1. The Provost will inform the candidate of the recommendation by February 1 and the President shall do likewise by March 1. The President will send recommendations for approval to the Board of Regents – typically, at its April meeting. Candidates will be notified of the final decision by May 15.

### **III.G. Procedures for Recommending Promotion for Instructors**

#### **1. Notice of Upcoming Promotion Review:**

An eligible instructor, as defined by section III.B.3 of the Faculty Handbook, may apply for promotion by submitting all relevant evaluation materials for consideration by October 1. No additional documents may be added or removed from these materials except the addition of recommendation letters.

#### **2. Promotion Committee:**

If there are candidates for promotion within the instructor ranks, the academic department head establishes a Promotion Committee composed of at least five (5) faculty members. Two (2) members of the Promotion Committee shall be tenured faculty members in the department and three (3) faculty members shall hold an instructor rank higher than the candidate. For departments with fewer than three faculty members with instructor rank higher than the candidate, a sufficient number of tenured faculty members will be added by the department head. If there is an insufficient number of tenured faculty members within the department, tenured faculty members and/or instructors of higher rank than the candidate will be added by the dean from within the college (or, if necessary, university) to bring the number of faculty on the Promotion Committee equal to five (5). In selecting the balance of the tenured and instructor faculty, the dean must consider the relationships among faculty to avoid an appearance of impropriety in the promotion process.

If formation of a committee according to these procedures is impossible, the dean shall request a variance from the Provost. The committee elects a chair. The department head serves as an ex-officio, non-voting member of the committee. Any individual with a conflict of interest is excluded from service on the promotion committee. Committee members who are themselves candidates for promotion are not permitted to be present during deliberations on their rank.

#### **3. Recommendations:**

The department/division's Continuance/Tenure (Promotion) Committee meets to review all evaluation materials and to vote on the candidate. Once the committee has met, the committee chair will provide a written memorandum to the department head. This memorandum must include the recommendation of the committee, the number of faculty eligible to serve on the committee, the number of committee members voting, the actual vote count including any abstentions, and a summary of the faculty discussion. The memorandum may also provide additional information deemed relevant to the committee's decision. The committee will be given the opportunity to review, revise and approve the memorandum. The chair of the Continuance/Tenure (Promotion Committee) will inform, in writing, the Department Head/Chair of its summary, recommendation and the numerical vote. The Department Head/Chair shall notify, in writing, the candidate of the recommendation of the Continuance/Tenure (Promotion) Committee, the vote count, and a summary of the committee's recommendation.

The department head reviews all relevant evaluation materials and produces a written recommendation by November 1. The department head's recommendation, Promotion Committee's recommendation, and all evaluation materials are forwarded to the college dean. The candidate is informed by the department head of the recommendation and associated rationale at a meeting within one week of the submission of the department head's recommendation to the dean. In the case of a negative recommendation, the faculty member may withdraw the application or request a review of their credentials and a written explanation of the negative recommendation.

The dean makes a decision (subject to approval by the Board of Regents) and informs the candidate and the department head by December 1.

If a candidate's application for promotion is not successful, they may appeal to the Provost by February 1. The Provost will review all materials submitted by the candidate and the recommendation/decision letters and will render a final decision by March 1.

Upon request of the faculty member, the department head, the dean of the college and the Provost will arrange a conference with the faculty member to discuss informally the circumstances surrounding the denial of promotion.

If the candidate believes that the decision by the dean or the Provost was arbitrary or capricious, violated standards of academic freedom, or was based on considerations that violate protected rights or interests (e.g., consideration of race, sex, national origin, exercise of free speech, association, etc.), a complaint may be filed with the President as described in Section V of the *Faculty Handbook*. The complaint shall be in writing and be filed within thirty (30) days after receipt of official notice from the Provost.

#### **IV. FACULTY TENURE AND CONTINUANCE**

##### **IV.A. Introduction:**

Tenure is a means to achieve such goals as:

1. Freedom of teaching and research/creative activities (for the University's statement on Academic Freedom, see Section II);
2. A sufficient degree of economic security to make the profession attractive; and
3. Institutional continuity and stability through a substantial contingent of faculty with long-range commitment to WKU.

The development and retention of an increasingly competent faculty is an objective to which tenure makes a significant contribution. While length of service determines one's eligibility to be recommended for tenure, tenure will be granted only to those faculty members with rank of assistant professor or above at WKU who have attained the educational qualifications specified for the positions they hold and who demonstrate outstanding performance in carrying out their professional responsibilities during the probationary period.

If any due dates fall on a weekend or university holiday, then the due date will be moved to the next business day.

##### **IV.B. Tenure Appointment Policy:**



Decisions concerning tenure will be based on performance in the following categories: teaching activities, research/creative activities (research/creative activities are not an expectation for Pedagogical faculty), and service to and for the University and/or community. It is understood that the faculty member should cooperate in working with colleagues in carrying out the University's educational mission. The following general statements will serve as guidelines for evaluating the faculty member's performance in assigned responsibilities.

#### **IV.B.1. Areas of Performance:**

- a. Teaching Effectiveness--Evidence in this area may include, but is not limited to, the following:
  - i. An evaluation of both the systematic organization of appropriate materials for presentation and communication to students of course objectives, plan of study, and means of student performance evaluation.
  - ii. An evaluation of the effectiveness of presentation by lecture, discussion, assignment and recitation, demonstration, laboratory exercise, practical experience, consultation, field trips, computer-assisted instruction, reading lists, filmed or videotaped materials, simulations, and games.
  - iii. An evaluation of assessment procedures such as tests, grading practices, and clinical performance.
  - iv. An evaluation of professional responsibilities such as in meeting classes; holding office hours; providing academic advising to students; returning materials in a timely fashion; making clinical assignments; supervising students; and treating students in a fair, impartial, and respectful manner.
  - v. An evaluation of the effectiveness with which students are stimulated to develop critical and/or creative abilities and intellectual curiosity by such means as independent study or thesis projects.
  - vi. An evaluation of student engagement involving classroom, laboratory or clinical instruction.
- b. Research/Creative Activities (the performance of scholarly research is not an expectation for Pedagogical faculty) -- Evidence in these areas may include, but is not limited to, the following:
  - i. Publication of books, monographs, articles, maps, bibliographies indexes, catalogs, textbooks, and papers in professional journals; production or direction of non-print media work; reports to federal, state, or local agencies; cases.
  - ii. Presentations of papers, cases, media productions, etc., at professional and other scholarly meetings.
  - iii. Participation in studies, programs, creative activity supported by extramural funds.

- iv. Production and display of musical compositions, paintings, sculpture, ceramics, weaving, photographs, graphics and other works of art; recitals, choreography, stage design and construction, costuming, direction; production of film and videotaped materials.
  - v. Inventorship or co-inventorship leading to U.S. and/or other patents.
  - vi. Participation in the development of innovative curricular materials such as curriculum guides, computer-assisted instruction, online resources, software, lab equipment, videotapes, films and film strips, manuals, workbooks, tools, or models which break new ground and successfully advance concepts, ideas and approaches that transcend ordinary instructional material.
  - vii. Invitations to conduct research at other universities or research-oriented agencies; to prepare questions for professional examinations.
  - viii. Continuation of current research or other creativity not yet resulting in publication, performance, or display.
  - ix. Involvement of students in faculty research or creative activity.
- c. University/Public Service--Evidence in these areas may include, but is not limited to, the following:
- i. Service on departmental, college, and University committees, councils, and senates; in appropriate professional organizations as officers, editors, or referees; to local, state, and/or national governmental and advisory boards, agencies, commissions; to business and industry or private citizens as technical expert or member of policy advisory committees; as organizers/directors of seminars, workshops and/or other conferences.
  - ii. Participation in meetings, symposia, conferences, workshops; in radio and/or television by developing and presenting materials for public awareness; conducting or performing.
  - iii. Work with schools through contact with teachers, administrators, students; through participation in science fairs, college day programs, lectures, performance, in-service programs; through advice on curricular matters, pedagogy, and the like.
  - iv. Direction of internships, cooperative education, practicals; learning laboratories; professional clubs and other organizations.
  - v. Advisement to student organizations.
  - vi. Preparation of grant proposals for instruction, research, and administrative support activities.
  - vii. Provision of professional services to individuals, groups, and the community.
  - viii. Involvement of students in any of the above activities.

**IV.B.2. Notice to New Faculty:** New faculty members will be given information about the tenure review process and grievance appeal process at the beginning of the first year of employment at WKU. These processes are described at the University level in the Faculty Handbook, and in the guidelines for tenure issued by the faculty member's department. The edition of the Faculty Handbook and the version of the College and Departmental guidelines on the employment starting date as indicated in the formal letter of appointment shall be included in the faculty's permanent file in Academic Affairs. Faculty shall be reviewed for tenure under the standards in place on the employment starting date as indicated in the formal letter of appointment.

**IV.B.3. Policies and Procedures for Continuance and Tenure Recommendations:**

- a. In addition to the regular annual evaluations of all faculty members, tenure-eligible faculty members will be evaluated each year on their progress toward tenure. The purpose of this evaluation is to determine whether there has been sufficient progress toward tenure to justify continuation of the faculty member.

Each year, from the first year of appointment through the year preceding the mandatory year for tenure consideration, tenure-eligible faculty will submit continuance materials to the department head for consideration by the continuance committee. The requirement for submission of continuance materials also applies to tenure-eligible faculty members who anticipate applying for tenure prior to the mandatory year.

Materials shall be submitted by January 25 of the first year of appointment and by August 20 for each subsequent year.

Continuance materials usually include, but are not limited to syllabi, examinations, SITE evaluations, activity reports, publications, creative works and evidence of service activities. The contents of any accompanying materials — for example a letter of appointment and workload assignments — used in the committee's deliberations and of all materials accompanying its recommendation shall remain strictly confidential, except as they are conveyed to members of the faculty and administration whose duties require knowledge of the information.

Submitted materials shall comply with the department's continuance policy. The department's tenured faculty serves as the continuance committee, excluding any faculty member having a conflict of interest as defined in Section II.X, or any individual with a subsequent role in the continuance decision. The department head is a non-voting member of the committee. The department head shall convene the committee and the committee members shall select a chair. Any committee member may comment on the candidate's materials. The committee then votes for or against continuance by secret ballot.

Tenured faculty members who are unable to participate in person or via electronic means in the meeting must notify the department head in advance and may submit a sealed envelope with comments for each person under review, which will be shared with the department chair and with committee. Anyone participating in the meeting from a remote location must ensure the confidentiality of the meeting.

Absentee ballots can be cast. However, committee members intending to submit absentee ballots must notify the department head in advance. And the

department head must establish a deadline prior to the committee meeting for submitting absentee ballots. Those ballots must remain sealed until the committee chair tallies ballots.

The department/division's Continuance/Tenure (Promotion) Committee meets to review all evaluation materials and to vote on the candidate. Once the committee has met, the committee chair will provide a written memorandum to the department head. This memorandum must include the recommendation of the committee, the number of faculty eligible to serve on the committee, the number of committee members voting, the actual vote count including any abstentions, and a summary of the faculty discussion. The memorandum may also provide additional information deemed relevant to the committee's decision. The committee will be given the opportunity to review, revise and approve the memorandum. By September 4 (February 1 for the first-year evaluation), the committee chair will send this memorandum to the department head.

By September 14 (February 9 for the first year evaluation), the department head will provide the candidate with a continuance evaluation in which the candidate's strengths and weaknesses in performance, as noted by the committee and/or the department head, will be clearly identified, documented, and explained. This evaluation will include:

- the committee's vote
- the department head's continuance evaluation

Candidate may request committee memorandum through the Office of the Provost.

The candidate will be given an opportunity to meet with the department head and send to the department head and dean a response to these evaluations by September 20 (February 15 for the first year evaluation).

The department head's evaluation and recommendation will be submitted to the college dean no later than September 20 (February 15 for the first year evaluation). The department head's recommendation to the dean will include:

- the result of the continuance committee's vote
- the committee's memorandum in full
- the department head's continuance evaluation

In case of a negative recommendation, the department head will inform the faculty member in writing.

The dean's recommendation shall be submitted to the Provost no later than September 30 (February 22 for the first year evaluation). In case of a negative recommendation, the dean will notify the faculty member. The Provost will submit any negative recommendation to the President and to the faculty member by October 10 (March 1 for the first year evaluation). The President will notify the faculty member of any decision for non-continuation on or before October 15 (March 1 for the first year evaluation).

The probationary requirement may be satisfied through full-time faculty service for five (5) years as an assistant professor or above at WKU. Review typically

occurs at the beginning of the sixth full year. Under exceptional circumstances, the University may consider tenure in less than the usual probationary time. Authorized leaves of absences will not be credited toward eligibility for tenure unless otherwise specified at the time they are taken.

- b. For faculty hired with a probationary period, the procedures to be followed in tenure recommendations are:
- i. The department head will be responsible for notifying probationary faculty of the date for mandatory consideration of tenure, typically the beginning of the sixth full year. A faculty member who has applied for tenure before the mandatory tenure year may withdraw from the process at any time without prejudice. However, a tenure review must occur in the mandatory year. A faculty member may withdraw a tenure application at any stage of the review during the review process prior to final action by the Board of Regents, but withdrawal of the application at any point during the mandatory review year constitutes a de facto resignation from WKU effective at the end of the academic year, unless the candidate submits a formal letter of resignation. If accepted by the Office of the Provost this formal resignation will be effective at the end of the next academic year.
  - ii. Tenure eligible faculty members holding a probationary term of appointment may be granted an extension of the maximum probationary period with no resulting change in employment obligations. See academic policy 1.124V on the [Academic Affairs Policies page](#).
  - iii. Faculty members being considered will be responsible for providing the tenured faculty by October 1 with all materials that they wish to be considered in the tenure decision. After the candidate submits all relevant evaluation materials for consideration by the October 1 deadline, nothing may be added or removed from these materials except the addition of recommendation letters.
  - iv. Before November 1, the department head will convene all tenured faculty members and preside at the election of a chair of the tenure committee. In convening all tenured faculty members within a department, the department head must consider relationships among faculty to avoid any appearance of impropriety in the tenure process. Any faculty member having a conflict of interest as defined in Section II.X is explicitly excluded from service on the tenure committee. Exclusion of a faculty member from the tenure committee on the basis of any other relationship requires approval from the dean of the college.

The tenured faculty in executive session will discuss the credentials of all faculty eligible for tenure and make appropriate recommendation(s) based upon the department, college and University standards to the department head. The contents of any accompanying materials — for example a letter of appointment and workload assignments — used in the committee's deliberations and of all materials accompanying its recommendation shall remain strictly confidential, except as they are conveyed to members of the faculty and administration whose duties require knowledge of the information.

The tenured faculty will vote by secret ballot to tenure or not to tenure. The department head may attend the meeting but is not eligible to vote.

Faculty members who are unable to be present at the meeting must notify the department head in advance and with the consent of the department head may submit a sealed envelope with a secret ballot enclosed for each person under review.

Once the committee has met, the committee chair will provide a written memorandum to the department head. This memorandum must include the recommendation of the committee, the number of faculty eligible to serve on the committee, the number of committee members voting, the actual vote count including any abstentions, and a summary of the faculty discussion. The memorandum may also provide additional information deemed relevant to the committee's decision.

The committee will be given the opportunity to review, revise and approve the memorandum. The recommendation of the Tenure Committee will be immediately provided by the department head to the faculty member seeking tenure. In the case of a negative recommendation by the Tenure Committee, the faculty member will have the option of withdrawing the application (but see I above). If the application is not withdrawn by the faculty member, the process will proceed.

- iv. By November 1, the department head will forward to the dean a written recommendation on each faculty member for tenure as well as the written recommendation of the Tenure Committee. The department head will advise the candidate in writing of the department head's recommendation by November 15.
- v. The dean will make a written recommendation to the Provost and forward the recommendations of the department's Tenure Committee and the department head by December 1. The dean will notify the candidate in writing of the dean's recommendation by December 15.
- vii. The Provost will make a written recommendation to the President by February 1 and will forward the recommendations of the department's Tenure Committee, the department head, and the dean. The Provost will inform the candidate of the recommendation by February 1 and the President shall do likewise by March 1.  
In the case of a negative recommendation by the Provost, the faculty member has the option to file a complaint in accordance with the procedures outlined in Section V of this Handbook.
- viii. The President will make recommendations to the Board of Regents at the April meeting. Faculty members will be notified of the final tenure decision by May 15 and, in case of a negative decision, those in their mandatory tenure year will be allowed an extension of one year.



c. For faculty who may be granted tenure at appointment, the procedures to be followed in tenure recommendations are identical to those described in IV.B.3.b.iv – IV.B.3.b.vi except that the review will occur at the time of appointment, with a decision by the Board at its first meeting after the recommendation by the President.

**IV.B.4. Extension of the Probationary Period:** As stated in academic policy 1.124V, tenure eligible faculty members holding a probationary term of appointment may be granted an extension of the maximum probationary period with no resulting change in employment obligations. This extension applies whether or not the faculty member takes a leave of absence for qualifying events.

For more information on the University's Extension of the Probationary Period policy, see academic policy 1.124V on the [Academic Affairs policy](#) page.

#### **IV.C. Non-Continuance or Negative Tenure Recommendations:**

Each appointment of a faculty member during the probationary period continues only for the limited term specified in the appointment document. There is no obligation to appoint for another such term. Each such appointment terminates without further action on the expiration date specified in the appropriate document, unless renewed.

Upon request of the faculty member, the department head, the dean of the college, and the Provost will arrange a conference with the faculty member to discuss informally the circumstances surrounding the non-continuance or negative tenure decision. If this conference fails to satisfy the faculty member, the President will have a related conference with the faculty member upon request (see Section V. of the Faculty Handbook).

**IV.C.1. Non-Continuance or Negative Tenure Recommendations:** If a recommendation is made for non-continuance of a probationary faculty member or for denial of tenure for a faculty member upon completion of the probationary period, the President shall provide the affected faculty member official written notice of the recommendation:

- By March 1 of the first year of appointment for non-continuance;
- By October 15 of the second year of appointment and thereafter for non-continuance (per section IV.B.3.a.);
- By March 1 of the faculty member's tenure review year for tenure (per section IV.B.3.b.).

If a faculty member's continuance or tenure is not recommended to the Board of Regents and they believe that the decision was arbitrary or capricious, violated standards of academic freedom, or was based on considerations that violate protected rights or interests (e.g., consideration of race, sex, national origin, exercise of free speech, association, etc.), the faculty member may file a complaint as described in Section V. of this Handbook. The complaint shall be in writing and be filed within thirty (30) days after receipt of official notice from the President.

**For further information regarding the appeal process, refer to Section V of this Handbook.**

## **V. NON-CONTINUANCE OR NEGATIVE TENURE AND/OR PROMOTION RECOMMENDATIONS**

### **V.A. Explanation of a Negative Decision:**

If a faculty member in the professorial ranks receives a negative recommendation from the President (or Provost, in the case of Instructor promotion), they may request an informal conversation with the department head, the dean, and the Provost to discuss the circumstances surrounding the decision. If this conference fails to satisfy the faculty member, they may request an informal conversation with the President to discuss the matter.

The President is not obligated to furnish a statement of reasons for not recommending reappointment of a faculty member; however, the President will furnish written reasons for negative tenure and promotion decisions if the faculty member requests them in writing.

### **V.B. Faculty Complaints:**

If a faculty member has been denied continuance, tenure, and/or promotion, then they may submit a written complaint to the President in which they submit evidence that the negative decision was arbitrary or capricious, violated standards of academic freedom, or was based on considerations that violated constitutionally protected rights or interests (e.g., considerations of race, sex, national origin, exercise of free speech, association, etc.).

- The written complaint should be signed and sent to the President within thirty days after the receipt of official notice of the President's negative recommendation. The department head, the dean, and the Provost should be copied in the correspondence.
- As part of the written complaint, complainants must indicate that University personnel may present information related to the decision to members of the Advisory and/or Ad Hoc Committees on Faculty Continuance, Promotion and Tenure and that these committees may review documents related to the person's continuance, tenure, and/or promotion.

Within 10 days of receiving a complaint, the President may:

- send it to the Advisory Committee on Continuance, Tenure, and Promotion to seek to settle the matter by preliminary inquiry, consultation, discussion, and confidential mediation; or
- send it directly to the Ad Hoc Committee on Continuance, Tenure, and Promotion to recommend to the President acceptance or rejection of the complaint.

The President will designate a Process Manager, usually an associate/vice provost, to oversee the processes on their behalf, to facilitate committee formation with Faculty Senate, to gather information for committees, to liaise with relevant parties, and to manage logistics.

The University complaint process must continue even if outside legal action is undertaken by the faculty member filing a complaint.

### **V.C. Process for Faculty Complaint, Continuance, Tenure, and/or Promotion:**

#### **V.C.1. Creation of a Selection Pool for the Advisory Committee on Faculty Continuance, Tenure, and Promotion and Ad Hoc Committee on Continuance, Tenure, and Promotion:**



By November 1 of every odd numbered year, the Senate Executive Committee will constitute a pool of candidates eligible to serve on the Advisory Committee on Continuance, Tenure, and Promotion and the Ad Hoc Committee on Continuance, Tenure, and Promotion. Tenured faculty members assigned to full-time teaching, research and/or academic service duties (with the exception of the Faculty Regent) are eligible to serve and are selected as follows:

- On or before October 1 of each odd-numbered year, the Vice Chair of Faculty Senate shall ask all academic departments to elect a nominee.
- By November 1<sup>st</sup> of that year, each academic department shall elect one eligible faculty member.
- As stipulated in the Senate Charter (IV.F.1), nominees shall be elected by secret ballot by all members of the faculty unit holding academic rank as defined in the Faculty Handbook.
- Persons elected as nominees shall remain in the pool for a period of two academic years and may be re-elected.

#### **V.C.2. Formation of the Advisory Committee on Continuance, Tenure, and Promotion:**

The committee shall be a standing committee consisting of five (5) tenured faculty members. At the November Senate Executive meeting, the Vice Chair of Faculty Senate will select the committee annually from the pool by lot.

When the President calls the Advisory Committee to service, the Process Manager and Vice Chair of Senate will recuse members from any case involving complainants from their department and ask members who deem themselves disqualified because of bias or interest to recuse themselves. Recused members will be replaced by drawing lots from the selection pool. Next, the complainant and then the Provost (or the Provost's designee who may not also be the Process Manager) shall have a maximum of two (2) challenges without stated cause. The President's Process Manager and Vice Chair of Senate will draw from the selection pool to fill seats vacated by challenges. If either party has remaining challenges they wish to exercise as alternates are added, they may do so. Draws from the selection pool will continue until membership is finalized.

##### **a. Work of the Advisory Committee:**

The President charges the Advisory Committee to seek to settle the matter by preliminary inquiry, consultation, discussion, and confidential mediation. The Advisory Committee may communicate with any relevant party, individually and/or in groups, and seek written documents related to the matter. The Process Manager facilitates information gathering and consultation on behalf of the Advisory Committee.

The Process Manager will call the first Advisory Committee meeting to brief committee members regarding the faculty complaint. During this first meeting, committee members will elect a chair and formulate a course of action including but not limited to date/times of future meetings and identify documents committee members would like to review. The Process Manager will retrieve requested documents from the complainant and others on behalf of the committee. Committee members will meet to discuss the faculty member's complaint and

documents provided by all parties. Committee members may request to interview individuals/groups and request additional supporting documents via the Process Manager.

If the matter is resolved informally, the committee will provide the President and complainant with a memo briefly stating the resolution. If the difficulty is unresolved informally within three weeks from the Committee's receipt of the complaint, the Committee shall furnish the President and the complainant with a written report containing its reasoned advice and recommendation as to whether or not the President should cause the matter to be set for formal evidentiary hearings by the Ad Hoc Committee. The report shall include a statement of the Committee's specific reasons in support of its advice and recommendation. Note: the three weeks will exclude weeks when the University is closed.

#### **b. The President:**

Based on the Advisory Committee's advice, the President may refer the matter to the Ad Hoc Committee or close the matter. The President will notify the complainant and the Committee of the decision in writing.

#### **V.C.3. Calling and Formation of the Ad Hoc Committee on Continuance, Tenure, and Promotion:**

The President may call for the establishment of an Ad Hoc Committee under two circumstances. The President may send a complaint to an Ad Hoc Committee on the advice of the Advisory Committee (see Section V.D.2). Alternatively, the President may choose to send a complaint directly to an Ad Hoc Committee after they receive a complaint, bypassing review by the Advisory Committee. When the President calls the Ad Hoc into service, they will designate a Process Manager (see V.B.) and ask the Provost to select an appropriate person (typically the complainant's Dean) to serve as the University's Representative at the hearing; this person may not also be the Process Manager.

Excluding any members from the Advisory Committee who may have worked on this case and excluding any members of the complainant's academic department, the Faculty Senate Vice Chair, Faculty Senate Chair, and the President's Process Manager shall draw by lot five nominees from the list of eligible individuals provided for in *Section V.C.* The Process Manager will contact the five nominees to learn if any deem themselves disqualified because of bias or interest; recused nominees will be replaced in the order they were drawn. Once the preliminary nominees are selected, the complainant and then the University's Representative shall have a maximum of two (2) challenges without stated cause. The President's Process Manager and Vice Chair of Senate will draw from the selection pool to fill seats vacated by challenges. Once membership is finalized, the Process Manager will convene the Ad Hoc Committee to elect a chair.

#### **a. Work of an Ad Hoc Committee:**

A faculty member's original written complaint to the President serves as the basis for inquiry. Complainants are responsible for stating the specific grounds upon which the allegation is based, and the burden of proof shall rest upon the complainant. As noted in Section IV.C.3., complaints must be based on factual information as grounds upon which complainants claim that

- the negative decision was arbitrary or capricious,
- violated standards of academic freedom, or

- was based on considerations that violate constitutionally protected rights or interests (e.g., consideration of race, sex, national origin, exercise of free speech, association, etc.).

The Committee will adhere to the following procedures:

- The complainant will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence; and the Process Manager will, insofar as it is possible for them to do so, secure the cooperation of such witnesses and make available necessary documents and other evidence within its control.
- The Committee will develop a draft agenda in advance of the hearing, the Process Manager and Chair will share it with the complainant and the University Representative for feedback, and the Committee will approve the final agenda based on the feedback.
- The complainant and the University Representative will have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear but the committee determines that the interests of justice require admission of their statement, the committee will identify the witness, disclose their statement and if possible provide for written interrogatories.
- The Ad Hoc Committee will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.
- Although both parties may seek outside advice as needed, neither will be formally represented by legal counsel in these hearings. Only the committee, the Process Manager, the complainant, and the University Representative will be present for the entire hearing.
- The Ad Hoc Committee will grant adjournments to enable either party to investigate evidence as to which a valid claim of surprise is made.
- The findings of fact and the decision will be based on the documentary evidence submitted by the faculty member and the University as well as testimony by witnesses during the Committee's proceedings. No transcript or recordings of the hearing will be made. When the Committee begins deliberations, they may seek clarification of information presented during the hearing, but they may not seek additional information not part of the record. All deliberations, evidence, and testimony will remain confidential.
- Except for such simple announcements as may be required covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or the University representatives will be avoided so far as possible until the proceedings have been completed, including consideration by the Board of Regents.
- Upon conclusion of the hearing, the committee must accept or reject the complaint by the faculty member. The Ad Hoc Committee must make a written recommendation to the President. The recommendation will include a summary of meeting dates, witnesses interviewed, documents reviewed, considerations, and vote count. The Committee's

written recommendation will be shared with the complainant and the University Representative as part of the President's decision.

**b. The President:**

The President must accept, reject or revise the recommendations of the Ad Hoc Committee and inform the Committee, complainant, and University Representative in writing of the decision. The President must submit the President's recommendations and the Committee's recommendations to the Board of Regents.

**V.E. The Board of Regents:**

The Board of Regents is charged with accepting or rejecting the recommendation of the President. The Board of Regent's decision is final.

***VI. POST-TENURE REVIEW OF FACULTY  
(Adopted by WKU Board of Regents, 2000)***

**VI.A. Introduction:** WKU recognizes that the purposes of post-tenure review are achieved through a continuing review process designed:

- to commend and recognize superior performance through merit pay;
- to encourage and facilitate improvement wherever necessary;
- to maximize opportunities for continuing professional development; and,
- to advance attainment of institutional goals.

The post-tenure review process should acknowledge good work, point out areas for improvement, identify most productive uses of faculty members' talents and expertise, and identify opportunities to energize all faculty members to reach new levels of achievement.

**VI.B. Post-Tenure Review Process:** The post-tenure review process at WKU will incorporate and build upon the existing system of annual performance reviews. Key elements of the review process will include annual activity reports submitted by each faculty member, results of student evaluations of faculty, and department head evaluations of each faculty member. These elements encompass:

- annual activity reports that will be consistent in format and will include activities and endeavors in the categories of teaching, research/creative activities, service, and contributions to the University mission, as well as the individual faculty member's long-range goals in each of the above categories;
- results of student evaluations for each course taught by the faculty member during the preceding year;
- department head annual evaluations that will explicitly address the post-tenure review goals of commending and recognizing superior performance, encouraging and facilitating improvement wherever necessary, maximizing opportunities for continuing professional development, and advancing attainment of institutional goals.

The results of the annual post-tenure review process will be provided to the college dean and the Office of the Provost for record-keeping and will be incorporated into recommendations for merit salary increases and University recognition and awards. If areas needing improvement are identified, the department head will work with the faculty member in developing a plan for improvement and will monitor progress during the following year.

Any dispute involving an individual faculty member's evaluation under the post-tenure review process will be resolved, if possible, at these levels (in order); department head; college dean; and Provost. Any unresolved disputes may be submitted to the Faculty Grievance Committee through the President.

Insofar as possible, the post-tenure review process will follow a similar structure and format throughout the University. Only minor department-specific adjustments may be made to this policy and those may be made only by majority vote of the tenured and tenure eligible faculty of the particular department and approved by the college dean and the Provost.

## **VII. TERMINATION OF FACULTY**

### **VII.A. Procedures for Termination:**

**VII.A.1. Faculty Without Tenure:** Faculty members without tenure are classified as employees at will to serve at the discretion of the University.

The term of a faculty appointment for one year may be terminated prior to the stated expiration date:

- By resignation and acceptance thereof, or
- By a dismissal for cause.

**VII.A.2. Faculty With Tenure:** A tenured appointment of a faculty member results in a commitment to successively reappoint the faculty member, except that that tenured status of a faculty member may be terminated:

- By retirement;
- By resignation and acceptance thereof;
- By a dismissal for cause;
- By a decision of the Board of Regents that termination is necessary because of financial exigencies of the institution; or
- By a decision of the Board of Regents that termination is necessary due to changed academic program needs resulting in a situation so that there is no longer a teaching position available within the University for which the faculty member is qualified.

Causes for dismissal specified in Kentucky Revised Statutes, Chapter 164 subsection 230, see:

<https://apps.legislature.ky.gov/law/statutes/statute.aspx?id=4223>.

a. Procedure for Dismissal for Cause:

A faculty member who has tenure or an unexpired probationary appointment may be dismissed only for cause. Statutory cause sufficient to support dismissal consists of the following as identified in KRS 164.360: incompetence, neglect of or refusal to perform duties, or immoral conduct. The Board of Regents' proceedings for dismissal of a faculty member for cause can be initiated only upon written charges referred by the President and shall be decided upon in the manner provided therein.

In any case in which the President of the University has personal knowledge of information sufficient to make an informed judgment that a faculty member should be dismissed for cause, after informal notification of the faculty member involved, charges may be brought without further consultation as provided by KRS 164.360(3).

Any member of the University community other than the President who desires to initiate charges in support of a proposed dismissal of a faculty member shall initiate the proposed dismissal with the department head or office to which the faculty member is assigned. The proposed dismissal shall be in the form of a written signed statement of the facts relied upon to support one or more of the statutory grounds for the proposed dismissal.

After informal notification of the faculty member involved, the department head shall evaluate the proposal and submit a written recommendation to the dean of the college. The dean of the college shall make an independent evaluation of the proposal and submit a written recommendation to the Provost. The Provost shall make an independent evaluation and submit to the President of the University a written recommendation together with the entire file.

If the President of the University determines that dismissal for cause charges should be brought, charges shall be preferred as provided herein.

If the President of the University determines that additional information is needed in order to make an informed judgment as to whether or not to file charges, the file may be referred to the Advisory Committee on Faculty Continuance, Promotion and Tenure for preliminary inquiry, consultation, and its reasoned advice and recommendation.

A genuine effort will be made by the Committee to resolve the entire matter by informal methods of preliminary inquiry, consultation, discussion, and confidential mediation. If the difficulty is unresolved informally within the three weeks after receipt of the file, the Committee shall furnish the President with a written report containing its advice and recommendation as to whether or not the President should prefer charges of dismissal for cause. The report shall contain a statement of the Committee's specific reasons in support of its advice and recommendation.

In any case in which the President decides that procedures for dismissal for cause are appropriate, the President shall forward to the Board of Regents a written recommendation of dismissal. The President's letter to the Board of



Regents recommending dismissal is to be accompanied by a formal written complaint setting forth specifically the nature of the factual information constituting grounds for dismissal. A copy of the complaint will be sent to the faculty member who is being charged. In transmitting a copy of the complaint to the faculty member being charged, the President shall advise the faculty member of the following:

- That the attached charges have been preferred against the faculty member to the Board of Regents;
- That a written answer to the charges is required to be filed with the Secretary of the Board of Regents;
- That the faculty member's answer to the charges may be either an admission or a denial of the charges; and
- That the faculty member has a right to be heard by the Board of Regents and to present testimony personally or through counsel.

If the charged faculty member fails or refuses to file the required written answer to the charge with the Secretary of the Board of Regents within ten (10) days after receipt of notice of the charges, or if the faculty member's answer admits the charges, proceedings will terminate and an order of dismissal will be entered.

If a faculty member being charged files an answer denying the charges, a hearing by the Board will be set and heard at a designated place, time, and date, but not sooner than three weeks after written notice of the charges has been received by the faculty member.

The proceedings at the hearing shall be transcribed and permanent record kept of the charges, notices, and other actions.

The proceedings are not governed by formal, legal rules of procedure and evidence. The Board may consider any information of a kind that has a probative value. The following agenda will be maintained:

- Entry of appearances of the parties and witnesses;
- Statement of charges by counsel for the University;
- Entry of the faculty member's denial of the charges;
- Presentation of evidence by the President or a designated representative;
- Opportunity for the faculty member or counsel to present evidence refuting the charges;
- Summation or statement on behalf of the University by the President or a designated representative or counsel; and
- Summation or statement by the charged faculty member or counsel;
- Decision and vote in executive session by the Board of Regents;
  - Exonerating faculty member, or
  - Approving the President's recommendations to dismiss faculty member, or
  - Other appropriate sanctions.

If the Board of Regents decides to apply sanctions, the President shall issue a formal letter of notification and shall advise the appropriate officials of the University.

b. Procedure for Termination Due to Financial Exigency:

The Board of Regents has a paramount statutory duty to the people of Kentucky to maintain a quality educational program, but within the means of available financial resources as determined by the Council on Higher Education, the Governor, and the General Assembly. Accordingly, determination of the existence of financial exigency requiring economy is a prerogative reserved for the Board and will not be delegated.

However, the Board is fully aware of the fact that adjustments to the financial crisis that include lay-off or termination of tenured faculty members is a matter of gravity and requires deliberate and thoroughly considered balancing of the public and private interests. Misunderstandings and disputes in such situations tend to dissipate the purpose, spirit, and academic climate of the institution, and to increase costs in time and money. Therefore, the Board of Regents will exercise its prerogative to terminate tenured appointments because of financial exigency only under severe conditions, and after a determination that alternative economy measures to maintain a quality educational program are not feasible under the prevailing circumstances.

Determination that a financial exigency exists of sufficient severity to require layoffs and terminations will be made by the Board upon the basis of a thorough analysis of institutional needs and requirements and available resources especially prepared by the President.

In making specific recommendations for termination of individual tenured faculty appointments required by financial exigency, the President shall take into account the following equitable considerations:

- i. If funded vacancies exist, reasonable effort will be made to offer the tenured faculty member concerned another existing position within the institution for which the tenured faculty member is qualified by education and experience.
- ii. In the event of the termination of a tenured faculty member, that faculty member will not be replaced:
  - For a period of two years by another person of comparable qualifications at the same or higher salary without first offering reinstatement to the terminated tenured faculty member and allowing a reasonable time for acceptance;
  - By another person at a reduced level of compensation without first offering the opportunity to continue at the reduced compensation to the tenured faculty member concerned and allowing a reasonable time for acceptance.
- vi. In the event of decisions to terminate faculty as a result of financial exigency, unless serious program distortion would result, tenured faculty members will

have preference of retention over non-tenured faculty members. The following sequence will be observed:

- Tenured faculty of superior academic rank will have preference of retention over tenured faculty of lesser rank.
- A faculty member who had attained tenure prior to another faculty member of the same rank would have preference of retention over the latter faculty member.
- If tenure and rank considerations are the same for two faculty members, i.e., they both were tenured on the same date and were promoted to their current rank on the same date, the faculty member with the longer period of employment with WKU would have retention preference.

The President shall send to each tenured faculty member recommended for termination because of financial exigency a written notice of the Board's initial decision to make such a termination. The notice shall include:

- A statement of the basis for the initial decision to terminate tenured faculty members;
- A description of the manner in which the decision to terminate this particular tenured faculty member was made; and
- A statement that the tenured faculty member will be provided an opportunity to have the particular decision affecting the faculty member reconsidered by the President with the advice of the Advisory Committee on Faculty Continuance, Promotion and Tenure.

The President shall also provide for disclosure to each such tenured faculty member and to the Advisory Committee on Faculty Continuance, Promotion and Tenure information and data upon which the institution based its initial decision that financial exigency required termination of tenured faculty members.

A tenured faculty member who receives official notice of termination because of financial exigency may secure reconsideration of the decision by filing a request with the President within thirty (30) days after receipt of notice.

A request shall be in writing and state facts that, if proved, would show that, given the chain of decisions which preceded the ultimate decision designating that tenured faculty member by name for termination, the ultimate decision was nevertheless arbitrary, capricious, or unreasonable.

The President shall refer the request to the Advisory Committee on Faculty Continuance for its reasoned advice and recommendation. The Advisory Committee on Faculty Continuance shall proceed to consider the information furnished by the President to the tenured faculty member and provide the tenured faculty member an opportunity to furnish written information or statements tending to prove the accuracy and correctness of the facts stated in the case.

A genuine effort will be made to resolve the entire matter by informal methods of preliminary inquiry, consultation, discussion, and confidential mediation. No formal evidentiary hearing of an adversary nature will be conducted on such a complaint. If the difficulty is not resolved within three weeks, the Committee shall submit to the President a written report containing its advice and recommendation with a supporting statement of its specific reasons. After consideration of the report, the President shall make a recommendation to the Board.

c. Procedure for Termination or Layoff Due to Changing Program Needs:

As in the case of the determination of the existence of financial exigency, the Board of Regents is also aware that adjustments to academic programs require deliberate and thoughtful planning and discussion. Therefore, the Board of Regents will terminate tenured faculty appointments because of program need changes only after a determination that such changes are necessary.

In making specific recommendations for termination of individual tenured faculty appointments required by changing program needs, the President shall take into account the following considerations:

- i. Before issuing notice to a faculty member of its intention to terminate an appointment because of a formal discontinuance of a program or department of instruction, the institution will make every effort to offer the faculty member concerned another existing position within the institution for which the faculty member is qualified by education and experience. If placement in another position would be facilitated by a reasonable period of training, financial, and other support for such training will be offered.
- ii. If funded vacancies exist, reasonable effort will be made to offer the tenured faculty member concerned another existing position within the institution for which the tenured faculty member is qualified by education and experience; and
- iii. In the event of the termination of a tenured faculty member, that faculty member will not be replaced;
  - For a period of two years by another person of comparable qualifications at the same or higher salary without first offering reinstatement to the terminated tenured faculty member and allowing a reasonable time for acceptance;
  - By another person at a reduced level of compensation without first having offered the opportunity to continue at the reduced compensation to the tenured faculty member concerned and allowing a reasonable time for acceptance.
- iv. In the event of decisions to terminate faculty as a result of changing program needs, unless serious program distortion would result, tenured faculty members will have preference of retention over non-tenured faculty members. The following sequence will be observed:

- Tenured faculty of superior academic rank would have preference of retention over tenured faculty of lesser rank.
  - A faculty member who had attained tenure prior to another faculty member of the same rank would have preference of retention over the latter faculty member.
  - If tenure and rank considerations are the same for two faculty members, i.e., they both were tenured on the same date and were promoted to their current rank on the same date, the faculty member with the longer period of employment with WKU would have retention preference.
- v. Tenured faculty shall be given at least a one-year advanced notice of termination or layoff due to changing program needs.

The President shall send to each tenured faculty member recommended for termination because of program need changes notice of the Board's decision to terminate. The notice shall include a statement that the tenured faculty member will be provided an opportunity to have the particular decision affecting the tenured faculty member reconsidered by the President with the advice of the Advisory Committee on Faculty Continuance, Promotion and Tenure.

The President shall also provide for disclosure to each such tenured faculty member and to the Advisory Committee on Faculty Continuance information and data upon which the institution based its initial decision that changed program needs required termination of tenured faculty members.

A tenured faculty member who receives official notice of termination because of changed program needs may secure reconsideration of the decision by filing a request with the President within thirty (30) days after receipt of notice.

The request shall be in writing and state facts that, if proved, would show that, given the chain of decisions which preceded the ultimate decision designating that tenured faculty member by name for termination, the ultimate decision was nevertheless arbitrary, capricious, or unreasonable.

The President shall refer the request to the Advisory Committee on Faculty Continuance, Promotion and Tenure for its reasoned advice and recommendation.

The Advisory Committee on Faculty Continuance, Promotion and Tenure shall proceed to consider the information furnished by the President to the tenured faculty member, and provide the tenured faculty member an opportunity to furnish it written information or statements tending to prove the accuracy and correctness of the facts stated in the request.

A genuine effort will be made to resolve the entire matter by informal methods of preliminary inquiry, consultation, discussion, and confidential mediation. No formal evidentiary hearing of an adversary nature will be conducted on such a request. If the difficulty is not resolved within three weeks, the Committee shall submit to the President a written report containing its advice and recommendation with a supporting statement of its specific reasons. After

consideration of the report, the President shall make a recommendation to the Board.

## VIII. FACULTY GRIEVANCE POLICY

### VIII.A. Faculty Grievance Generally:

**VIII.A.1. Purpose:** To provide an individual faculty member with a procedure for presenting a grievance without fear of reprisal and having it considered in an expeditious, unbiased and orderly process. The procedure is advisory and not adjudicatory.

**VIII.A.2. Definition of Grievance:** An allegation that there has been a violation, misrepresentation, or improper application of existing policies, rules, regulations, practices, and/or procedures or a complaint that a faculty member has been treated unfairly or inequitably or has been unreasonably hindered in the performance of duties.

**VIII.A.3. Eligibility of Faculty:** Full and part-time faculty, current adjunct faculty, and transitionally retired faculty are eligible to file grievances using this procedure. Eligible faculty include those associated with any University campus.

### VIII.B. Appeal through Administrative Channels:

**VIII.B.1. Informal Review:** Every effort should first be made to resolve the matter informally by conversation with the department head, college dean, or Provost.

**VIII.B.2. Formal Grievance:** If the matter cannot be resolved informally, the faculty member may file a formal grievance in writing with the department head within ninety (90) days of the most recent alleged violation. If the department head cannot resolve the grievance within fourteen (14) days of receipt of the grievance, a faculty member may request review by the college dean. If the college dean cannot resolve the grievance within fourteen (14) days of receipt of the grievance, a faculty member may request further review by the Provost. The Provost shall have fourteen (14) days from receipt of the grievance to issue a recommendation to the President as to whether the matter should be referred to the Advisory Committee on Faculty Grievance. At any time during the grievance process, the faculty member may seek the counsel and advice of the University Ombuds Officer. The Ombuds Officer is available to offer an objective perspective on the issue of concern, to assist the faculty member with interpretation of University policies and procedures, and to refer the faculty member to the appropriate person or office to best address the concern.

### VIII.C. Appeal through Advisory Committee on Faculty Grievance:

**VIII.C.1. Establishment of Committee:** The committee shall be drawn from the same pool chosen for the Advisory Committee on Faculty Continuance, Promotion and Tenure. The Committee shall consist of five (5) tenured faculty members selected by the University Senate by lot annually by the University Senate Chair during a meeting of the Senate Executive Committee from a list of elected faculty members. A faculty member shall not participate in a case involving a faculty member from the same department. Faculty members chosen to serve on the Committee shall remove themselves, either at the request of one of the parties, or on their own initiative, if they deem themselves disqualified because of bias or interest. Each party



shall have a maximum of two (2) challenges with or without stated cause. The Committee shall select its own chair.

**VIII.C.2. Procedures:** Faculty members who have been unable to achieve satisfactory resolution of a formal grievance through administrative channels may request a review by the Advisory Committee on Faculty Grievance through the President.

The request for a review must be submitted in writing, together with a statement of the grievance. Upon receipt of the grievance, the President shall have the committee convene through the procedures described above. The committee will not review in this way matters for which other formal procedures have been specifically outlined in this Handbook. The committee after a preliminary investigation, and upon a vote of a majority of its members, may rule that a particular grievance does not merit review by the committee. If it determines that the grievance lies within the scope of the committee, the chair shall initiate a committee review by notifying all appropriate parties of the review procedure to be followed. The committee shall be empowered to request any and all parties to submit evidence related to the grievance. This review shall be completed within 45 days, excluding official holidays and vacations. At the conclusion of the review, the committee will forward a written report of its findings to the President and to the faculty member. The written decision of the President shall be forwarded to the chair of the committee and to the faculty member. If the President does not accept all or part of the findings and recommendations of the committee, the President will include in the decision the reasons for not doing so. The decision of the President is final.

#### **VIII.D. Annual Report:**

At the end of each academic year, the President shall provide a written report to the Board of Regents regarding the number and type of cases presented in the preceding year. The report shall include the committee's recommendations for each case and its final disposition.

## **IX. SPECIAL APPOINTMENTS**

**IX.A. University Distinguished Professorship:** The University Distinguished Professorship program is designed to recognize faculty members who have served the University with distinction and have compiled an outstanding record of achievement in teaching, research, and service. By providing additional support for their work, the program seeks to enable recipients to pursue more professional opportunities and to increase the leadership role of these faculty at Western Kentucky University.

To be eligible for appointment as a University Distinguished Professor, a faculty member must have: held the rank of professor for at least five (5) years; normally completed 5 or more years of service to Western Kentucky University; and compiled a record of sustained achievement in teaching, research/creativity, and service. Department heads, chairs, directors, and area coordinators are eligible for appointment.

For more on the University Distinguished Professorship program, including deadlines and award information, see academic policy 1.133V on the Academic Affairs Policies page at: <https://www.wku.edu/policies/academic-affairs/>.

**IX.B. Graduate Faculty:** All courses offered for graduate credit at WKU must be taught by graduate faculty. Membership in the graduate faculty may be acquired through two methods. First, membership may be granted through the hiring process. The department head or program director/coordinator should recommend graduate faculty status at the time of hire. The College Dean will review the recommendation, approve, and forward the recommendation to the Graduate Dean for approval. Second, membership may be granted to current faculty members via a recommendation by the faculty member's department head or program director/coordinator. The College Dean must review the recommendation, (dis)approve, and forward to the Graduate Dean for approval.

Nominations and recommendations are based upon the general criteria of evidence of scholarly attainment, active participation in research, scholarly activities and/or professional accomplishments which are recognized or commended by professional organizations in the candidate's field and professional standing. Graduate faculty should also express a willingness to direct the study of graduate students.

College deans, department heads, or program director/coordinator should evaluate faculty for graduate faculty status as part of the annual review procedure in accordance with the general criteria listed above.

**IX.C. Visiting Professor:** This is a special appointment designed particularly for academic personnel who are qualified for such a position at WKU by virtue of educational service elsewhere. Participation in a retirement system is determined according to eligibility and whether vesting would be possible. This is a one-year appointment subject to renewal.

**IX.D. Distinguished Visiting Professor:** This is a special appointment designed for academic persons of particularly outstanding service elsewhere. Participation in a retirement system is determined according to eligibility and whether vesting would be possible. This is a one-year appointment subject to renewal.

**IX.E. Appointee in Residence:** The individual receiving this appointment, designed for persons particularly distinguished in their fields, is designated as, for example, artist in residence, or author in residence.

**IX.F. Adjunct Faculty:** As stated in Academic Affairs policy 1.127V, the title of Adjunct Faculty may be used when a qualified person from WKU or another institution of higher education, or from business, industry, government, or private practice, has established a professional relationship with an academic unit at WKU. See policy 1.127V on the [Academic Affairs Policies page](#).

**IX.G. Part-Time Faculty:** This is a special appointment for qualified individuals who are employed on a part-time basis to teach University classes. The University's regular guidelines for faculty rank and tenure and the provisions of the retirement system do not apply to these employees.

**IX.G.1. Grades:** The following guidelines are to be applied in the employment of these personnel:

- GRADE I Persons employed in this category should hold at least a bachelor's degree and have a minimum of three years related experience or hold the master's degree.
- GRADE II Persons employed in this grade should hold at least the master's degree and have three to five years teaching experience or have other special training and experience related to the teaching position.
- GRADE III Persons employed in this grade should hold at least the master's degree and have five years or more teaching experience, hold other degrees or certifications (Ed.S., CPA, CPE, etc.) or special qualifications, or hold the doctorate.
- GRADE IV Persons employed in this grade should hold the doctorate or terminal degree in the discipline and have a minimum of seven years teaching experience or other special qualifications applicable to their teaching role.

In the establishment of equivalent experience for purposes of stipend determinations, the teaching of eight courses (24 semester hours) as a part-time faculty member constitutes one year's experience. Years of service as a part-time faculty member do not count toward consideration for tenure.

**IX.G.2. Special Benefits:**

- I.D. card for Library and Bookstore privileges;
- eligibility for a faculty-staff parking permit;
- partial tuition waivers; and
- eligibility for membership in the Raymond B. Preston Health and Activity Center.

**IX.G.3. Maximum Load:** Part-time personnel shall not be employed to teach more than nine (9) semester hours at the undergraduate or six (6) semester hours at the graduate level per semester.

**IX.G.4. Evaluation:** Part-time teaching faculty members are employed to provide instruction in specific courses. In that capacity, they are expected to provide instructional quality comparable to that provided by full-time faculty. Instructional performance of part-time faculty may be evaluated using the same standards and procedures.

**IX.H. Faculty Transitional Retirement Program:** The Faculty Transitional Retirement Program (TRP) permits the re-employment on a special part-time, time-limited basis of faculty members who retire from full-time service. Faculty interested in participating in the Transitional Retirement Program (TRP) shall make a written request to the applicable department head/chair or director of the department/school, who will forward the request along with their recommendation to the dean of the college

Acceptance into the Transitional Retirement Program (TRP) is at the discretion of the dean and shall be based on the needs of the department/school, college, and the university. The dean shall notify the faculty member, department head/chair or director, Provost (or designee) and Department of Human Resources in writing of their decision. Letters accepting a faculty member into the Transitional Retirement Program (TRP) must include the dates of participation, compensation, and workload expectations. For eligibility, compensation and benefits information please review Policy 0.6900 at [www.wku.edu/policies/university/](http://www.wku.edu/policies/university/).

#### **IX.I. Faculty Emeritus:**

As stated in policy 1.103V, “WKU will honor select faculty members, upon full retirement, as emeritus faculty. These individuals will be granted certain rights and privileges in recognition of their honored role in the university community and their ongoing potential for contributions to the intellectual and cultural life of the University.”

For the University policy on Emeritus Status, see Policy 1.103V on the [Academic Affairs Policies](#) page.

## **X. OTHER FACULTY POLICIES**

If any due dates fall on a weekend or university holiday, then the due date will be moved to the next business day.

**X.A. Faculty Awards:** The University annually recognizes various university- and college-level awards for full-time and part-time faculty, and outlines the procedures for nomination, selection, and recognition. See Policy 1.118V on the [Academic Affairs Policies](#) page.

### **X.B. Sabbatical Leaves:**

#### **X.B 1. Purpose**

University policy provides for the granting of sabbatical leaves for the purpose of professional improvement of the faculty.

Sabbaticals are typically granted only to a faculty member who is qualified in terms of consistently high job performance, has demonstrated success in previous research, and who submits a well-planned proposal for leave. In general, any activity related to a faculty appointment that will enhance the professional and scholarly growth of the applicant meets the basic criteria for a sabbatical leave request.

Sabbaticals are not granted automatically and are constrained by budgetary, legal and other considerations.

To be eligible for a sabbatical leave, a faculty member, shall have tenure, and shall have completed six continuous full academic years of service at the University. Faculty may apply for a sabbatical during the sixth year of service, but the sabbatical will be withdrawn if tenure is not awarded. Normally, sabbatical leaves are granted for either one semester at full pay (fall or spring) or for two semesters (one academic year consisting of the fall semester, winter term and spring semester) at one-half pay. Summer sabbaticals may be granted only with special approval in exceptional cases.

The approval for sabbatical leaves is based on professional accomplishments, not the passage of time. Notwithstanding this, however, sabbatical leaves will not be granted to an individual more than once every seven years with year one being the academic year (fall semester through summer term) following the completion of the sabbatical.

In cases where a faculty administrator is granted an administrative leave of absence to aide in their transition from administrative duties/responsibilities to faculty duties/responsibilities, they shall not be eligible to apply for a sabbatical leave for seven years following the conclusion of their administrative leave of absence.

#### **X.B 2. Application and Review**

Applications for sabbatical leaves must be submitted to the department head/chair/director, by October 1 of the academic year preceding the date the leave would begin.

The department head transmits a recommendation to the College Sabbatical Review Committee by October 15. If the department head/chair/director is submitting an

application for sabbatical leave, they shall not provide a recommendation/endorsement concerning their application.

Each College Sabbatical Review Committee will evaluate the proposals submitted within that college and transmit their recommendations, together with an assessment of the relative merits of the proposals, to the respective college dean by November 5.

The dean will review the recommendations of the Sabbatical Review Committee and make their own recommendation to the Provost by November 15.

Faculty members holding administrative positions are also eligible for sabbatical leaves. A faculty member who currently holds teaching or other faculty related responsibilities within a specific college shall submit their application via the process indicated above. An administrator with faculty rank who does not currently hold teaching and/or other faculty related responsibilities within a specific college shall submit their application directly to the Provost (or designee). The Council of Academic Deans shall serve as the Sabbatical Review Committee for administrator applications and make their recommendation to the Provost.

After consultation with the respective dean(s), the Provost shall make recommendations to the President by November 30. The President will make recommendations to the Board of Regents for consideration and approval at its January meeting.

### **X.B 3. Obligations and Changes**

The Dean shall provide the precise terms of approved sabbatical leaves to the faculty member.

Within thirty (30) days after completion of a sabbatical leave, a report is to be submitted to the department head/chair/director, dean and provost, outlining the benefits of the sabbatical in terms of scholarly growth of the faculty member.

The College Sabbatical Review Committee must approve any major modification of plans by a leave recipient. Faculty members with approved academic-year sabbaticals may not change to one-semester sabbaticals.

Faculty and administrators on either a sabbatical or paid leave are expected to return to the University for at least one academic year following the conclusion of the year in which the sabbatical or leave is taken. Those on a summer sabbatical must return for the academic year following the summer in which the leave is taken. Failure to comply obligates the individual to repay the University for the compensation received. This policy will prevail in all cases unless otherwise stipulated.

### **X.B 4. Benefits during Sabbatical Periods**

Faculty members who participate in the Kentucky Teachers' Retirement System (KTRS) and who are granted sabbatical leave for one semester would continue to earn retirement service credit; however, faculty granted sabbatical leave for two semesters do



not earn retirement service credit nor do they, or the university, make retirement contributions to KTRS during the period of the sabbatical leave.

Upon returning to active employment, employees not eligible to earn retirement service credit shall then become eligible to purchase credit associated with the sabbatical period, under guidelines established by the TRS. Please review Human Resources Policy 4.605V for additional information.

On the other hand, faculty who participate in the Optional Retirement Plan (ORP) and who are granted sabbatical leave (either at full pay or one-half pay) do continue to participate in the ORP; they and the University make the same contributions as in regular employment status.

For the University's Sabbatical Leave Policy, see policy 1.130V on the [Academic Affairs Policies](#) page.

For information on benefits during sabbatical assignments, see Policy No. 4.605V on the [Human Resources Policies](#) page.

**X.C. Leaves of Absence:** Leaves of absence may be granted for special assignments, professional improvement programs, additional study, or for personal reasons. Special consideration is given to applications from persons desiring leaves to pursue advanced degrees. Each application for leave is considered on its individual merits. Typically, the University does not grant leaves of absence for more than one year.

**X.D. Faculty Development Funds:** The University, through the college faculty development committees makes limited monetary assistance available to full-time faculty. Guidelines and application forms are available upon request in the college deans' offices or can be found online at the respective college site.

**X.E. Faculty Research Grant Funds:** To encourage participation in research/creative activity and contributions to knowledge, the Office of Research administers University funds that have been made available for faculty research and development projects. Information regarding the types of grants and the application process can be found at: <http://www.wku.edu/sponsoredprograms/>.

**X.F. Computing Ethics Policy:** University computing resources are made available to individuals to assist in the pursuit of educational goals. It is expected that users will cooperate with each other so as to promote the most effective use of computing resources and will respect each other's ownership of work even though it is in electronic rather than printed form. WKU's policy on computing ethics can be found at: <http://www.wku.edu/it/policies/>.

**X.G. Integrity in Research:** Individual integrity in science, research, and research/creative activities is an important component of a viable and energetic academic community. Misconduct in University research activities undermines the research enterprise and is harmful to the University community, the research community generally, and the public. Institutions such as WKU have the responsibility not only to promote a healthy research environment but also to establish policies and procedures that deal effectively with allegations or evidence of misconduct. WKU's policies on the responsible conduct of research can be found at the Office of Sponsored Programs site at: <http://www.wku.edu/sponsoredprograms/>.

The policy on integrity and the guarding against misconduct in research and research/creative activities applies not only to externally funded investigative projects but to all research/creative efforts involving faculty, staff and students at WKU.

**X.H. Intellectual Property Policy:** WKU is committed to academic freedom and the fostering of rich and vibrant public sphere in which it can flourish. Pursuit of these goals includes the recognition and protection of the intellectual property rights of faculty, staff, students and the University, and the acknowledgement of the supportive, enabling role of the academic community.

It also requires the fair distribution of any benefits arising from activities in which the University and its members are jointly engaged, including public recognition and, where appropriate, financial remuneration. WKU's policy on intellectual property (policy 2.810V) can be found on the Research Policies page at: <https://www.wku.edu/ip/>.

**X.I. Drug Free Workplace Requirements:** WKU promotes a healthy campus environment where the use of alcohol and other drugs does not interfere with learning or performance. As a recipient of federal grants and contracts, WKU gives notice to students, faculty and staff that it is, both philosophically and in policy, in compliance with the Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act of 1989. Students, faculty and staff are notified of the standards of conduct, which shall be applicable while on WKU property, and/or at University-sponsored activities. Sanctions may be imposed under University regulations and federal and state laws. WKU's policy on a drug free workplace (policy 4.860V) can be found on the Human Resources Policies page at: <https://www.wku.edu/policies/human-resources/>.

## **XI. GENERAL ACADEMIC SUPPORT INFORMATION**

**XI.A. Registration:** Students will register for courses via TopNet on the days designated in the University Calendar for this purpose.

**XI.B. Protection of University Personnel and Property:** The University maintains a full-time security force of trained and experienced security and law enforcement officers under the direction of the WKU Police Department. These officers are responsible for security of all University property and personnel on campus. The security office may be reached at 745-2548 on the University phone system. In emergency situations, the security automobiles may be reached by radio through the Bowling Green City Police Headquarters.

**XI.C. Public Relations:** The overall direction and supervision of the University's public relations efforts is the responsibility of the Division of Communications and Marketing. The division is charged with informing the public concerning significant developments at the University and with gathering and channeling University news to the news media. In addition, Communications and Marketing is responsible for the University's crisis communication program, and faculty should keep divisional leadership informed during times of crisis or controversy so that appropriate and correct information can be shared with the news media. Information about the division, the crisis communication plan, news release information form and photo request form are available at: <http://www.wku.edu/communicationsandmarketing/>.

**XI.D. Student Records:** The Registrar's Office maintains a current record on each student's academic progress at the University. These records are confidential but are available to the

faculty member online via TopNet for advisement or other professional purposes. Faculty members should be familiar with the Family Educational Rights and Privacy Act (FERPA) and WKU's guidelines. This information can be found at: <http://www.wku.edu/registrar/>.

**XI.E. Student Assessment of Teaching:** During the fall and spring semesters, the University administers an evaluation for student assessment of teaching in each University course offered on or off campus. All faculty members participate in the assessments.

**XI.F. University Counseling and Testing Center:** The University Counseling and Testing Center has a professionally trained staff to work with students experiencing educational, vocational, or personal-social problems. Faculty members are encouraged to identify and refer to the center students in need of such help. The center also administers a testing service for a wide range of standardized examinations. Information for faculty and staff can be found at: <http://www.wku.edu/heretohelp/>.

**XI.G. Advising and Career Development Center:** The Center coordinates academic advising activities among undergraduate colleges and academic departments for undergraduate students. It provides advising, student success initiative, and training on advising for faculty and staff. Information for faculty and students is located at: <http://www.wku.edu/advising>.

**XI.H. Student Academic Offenses:** The maintenance of academic integrity is of fundamental importance to the University.

Thus it should be clearly understood that acts of plagiarism or any other form of cheating will not be tolerated and that anyone committing such acts risks punishment of a serious nature. The University Disciplinary Committee holds hearings and recommends action in cases of alleged academic dishonesty.

The Committee functions through the Office of the Vice President for Student Affairs. Procedural guidelines and additional information can be found at: <https://www.wku.edu/handbook/u-d-c-.php>.

**XI.H.1. Academic Dishonesty/Research Misconduct:** It is the responsibility of each faculty member to maintain at all times conditions that discourage academic dishonesty in any form. Faculty should be careful to insure that class records and examinations are not accessible to those not entitled to such information and should make every effort to inspire in students the proper attitude and respect for honesty in academic work. The Office of the Vice President for Student Affairs and Office of Judicial Affairs is available for assistance in dealing with cases of dishonesty.

**XI.H.2. Plagiarism:** To represent ideas or interpretations taken from another source as one's own is plagiarism. Plagiarism is a serious offense. The academic work of students must be their own. Students must give the author(s) credit for any source material used. To lift content directly from a source without giving credit is a flagrant act. To present a borrowed passage after having changed a few words, even if the source is cited, is also plagiarism.

**XI.H.3. Cheating:** No student shall receive or give assistance not authorized by the instructor in taking an examination or in the preparation of an essay, laboratory report, problem assignment, or other project that is submitted for purposes of grade determination.

**XI.H.4. Disposition of Offenses:** Students who commit any act of academic dishonesty may receive from the instructor a failing grade in that portion of the course work in which the act is

detected or a failing grade in the course without possibility of withdrawal. The faculty member may also present the case to the University Disciplinary Committee through the Office of the Vice President for Student Affairs for disciplinary sanctions.

Students who believe a faculty member has dealt unfairly with them in a situation involving alleged academic dishonesty may seek relief through the Student Complaint Procedure as outlined at: <http://www.wku.edu/handbook/academic-complaint.php>.

**XI.H.5. Other Types of Academic Dishonesty/Research Misconduct:** Other types of academic offenses, such as the theft or sale of tests, should be reported to the Office of the Vice President for Student Affairs for disciplinary action.

**XI.H.6. Documentation of Student Academic Offenses:** Student academic offenses should be documented by the faculty member. A form for this purpose is available at: <http://www.wku.edu/aa/> When completed, the form shall be placed of record with the college dean and the Office of the Vice President for Student Affairs.

**XI.I. Student Behavioral Offenses:** In addition to maintaining academic honesty, students at WKU are expected to abide by the behavioral mandates of the Code of Student Conduct while they are on University-owned or controlled property or attending a University-sponsored activity. The Code of Student Conduct is set forth in the WKU Student Handbook and is available online at: <http://www.wku.edu/handbook/>.

Students engaged in prohibited activities risk punishment of a serious nature.

**XI.I.1. Prohibited Activities:** Students are prohibited from engaging in lewd, indecent or obscene conduct or gestures. Further, students may not engage in any activity, which impairs, impedes or obstructs teaching, research, administration disciplinary procedures or other University missions, processes, functions or other authorized activities. This includes, but is not limited to: use of abusive language and/or profanity; possession of unauthorized weapons; use of fighting words; physical abuse or threats of violence; actual or attempted use, possession, sale, manufacture or distribution of alcohol or a controlled substance as defined by Kentucky law.

**XI.I.2. Disposition of Offense:** Students who commit any prohibited activity may be removed from the classroom by the faculty member for the remaining class period. More than one violation by the same student may result in a failing grade for the course without the possibility of withdrawal and/or removal from the program and/or college. The faculty member may also present the case to the University Disciplinary Committee through the Office of the Vice President for Student Affairs for disciplinary sanctions.

Students who believe a faculty member has dealt unfairly with them in a situation involving alleged behavioral offenses may seek relief through the Student Complaint Procedure as outlined at: <http://www.wku.edu/handbook/academic-complaint.php>.

**XI.I.3. Documentation of Student Behavioral Offenses:** Student behavioral offenses should be documented by the faculty member. A form for this purpose is available at: <http://www.wku.edu/aa/> When completed, the form shall be placed on record with the college dean and the Office of the Vice President for Student Affairs.

**XI.J. Teaching Facilities and Classroom Supplies:** Each departmental budget includes an allocation of funds for classroom equipment and supplies. Requests for supplies, equipment, and repairs should be made through the department head. The planning for needed equipment and teaching aids takes place when the annual departmental budget is being prepared. All funds, regardless of their source, must be expended through established institutional procedure. The University is not responsible for any purchase made by faculty or staff members without proper approval and/or procedure.

**XI.K. Office Facilities:** The University provides full-time faculty with offices, computers and furniture. Requests for additional office equipment should be made through the department head.

**XI.L. Campus Bookstore Facilities:** The WKU Store has locations in the Downing University Center, South Campus, Glasgow Campus and other regional sites. It carries supplies, textbooks and other instructional materials as well as WKU sportswear and memorabilia.

The WKU textbook adoption policy (Policy No.1.403V) may be found on the Academic Affairs Policies page at: <https://www.wku.edu/policies/academic-affairs/>. Faculty may submit textbook and/or course material requests to the WKU Store according to published standards and deadlines at: [http://www.wku.edu/wkustore/faculty\\_textbook\\_requests.php](http://www.wku.edu/wkustore/faculty_textbook_requests.php).

Upon presentation of their identification card, faculty and staff are granted a twenty percent (20%) discount on most items purchased at the WKU Store.

**XI.M. Grant and Contract Services:** For information regarding grant and contract programs for faculty at WKU, see <http://www.wku.edu/sponsoredprograms/>.

**XI.N. Protection of Human Subjects:** The University has provided the National Institute of Health with an overall statement that certifies that WKU will maintain a standing committee to review research protocols and oversee the conduct of sponsored research that involves human subjects. While this committee is formalized for only externally supported efforts, guidelines developed by the Public Health Service (PHS) are considered appropriate for all University sponsored research. Research compliance guidelines can be found at: <http://www.wku.edu/compliance/>.

**XI.O. Animal Welfare:** The University has provided the Public Health Service with an overall certification that: (1) WKU will comply with PHS regulations that relate to care and use of vertebrate animals in testing, research and training, and (2) a standing committee will oversee the research protocols of sponsored research efforts and will insure the humane treatment and maintenance of laboratory animals. Information on research compliance can be found at: <http://www.wku.edu/compliance/>.

**XI.P. University Libraries:** WKU Libraries offer services through the Helm-Cravens complex on Main Campus, the Kentucky Museum, regional campus libraries and online. Additional information regarding library services and hours of operation can be found at: <http://www.wku.edu/library/>

**XI.Q. Center for Innovative Teaching and Learning:** The purpose of the center is to provide activities and opportunities that support and enhance individual excellence in classroom



instruction. The Center's programs are available to regular faculty of all ranks, part-time faculty, and graduate teaching assistants. Some of the resources offered include workshops and seminars, self-assessment, fliers, books and videos on instruction. Additional information regarding the center can be found at: <https://www.wku.edu/citl/>

**XI.R. Information Technology:** The Information Technology Division supports the University's mission through the application of computing, telecommunications, interactive television courses and other services. Technical assistance and information regarding this Division and its services are available at: Help Desk (270) 745-7000; or at: <http://www.wku.edu/it>.

## **XII. PERSONNEL POLICIES, BENEFITS, AND OTHER SERVICES**

**XII.A. Disclaimer:** This information is intended to provide a general overview of benefits available to employees of WKU. Due to changing business conditions, federal and state laws, and organizational needs, benefits are subject to change without prior notice. Nothing in the above statements relating to personnel policies, benefits, and services should be considered as a contract or a guarantee. Faculty are encouraged to monitor benefit information at the WKU Human Resources Office web page at: <http://www.wku.edu/hr>.

**XII.B. Salary and Paychecks:** Faculty members are typically employed on a nine-month basis and receive salary for that term of employment in twelve installments payable on the last business day of each month. The academic year runs from August 16 to May 15 with payments made July 1 to June 30. Paychecks are directly deposited per faculty authorization. New faculty members employed by August 15 receive their first paycheck at the end of August and receive 2/12 of their annual salary at that time. Salary and paycheck information may be obtained on the employee services page of TopNet.

While the work plan covers 9 months, all faculty are paid over 12 months beginning July 1 through June 30. Because of this, salary and benefit payments received for July and August are made in *anticipation* of effort to be expended in the upcoming academic year, and are therefore considered advance payments (paid but not earned). When the employment of a faculty member terminates, the faculty member shall pay to WKU any salary advance received and not earned. The faculty member will receive notification from the Office of Human Resources indicating the amount and terms of repayment.

**XII.C. Payroll Deductions:** Mandatory payroll withholding includes federal income tax, state income tax, city occupational tax, county occupational tax (if applicable), Social Security, and retirement. Voluntary elections for medical insurance, dental insurance, United Way Fund contributions, group life insurance, tax sheltered annuities, U.S. Savings Bonds, cafeteria plan options, Preston Center memberships, parking, direct deposits, WKU Foundation and College Heights Foundation contributions may be deducted. Faculty may complete initial payroll deduction forms or may revise existing payroll deduction forms on TopNet.

**XII.D. Access to Electronic Academic Personnel Records:** Upon reasonable notice, faculty members are entitled to inspect their personnel files relating to determinations of employment, promotion, compensation, termination and/or disciplinary actions. See academic policy 1.106V on the [Academic Affairs Policies Page](#).

**XII.E. Medical Leave/Maternity Leave:** Faculty members have the right to invoke the provisions of the Family Medical Leave Act (FMLA) for personal or family medical emergencies or other qualified reasons as defined by the federal statute and University policy. The FMLA permits up to twelve (12) weeks of unpaid leave and ensures that the faculty member's position will be held for them under the leave. Absences related to childbirth and adoption are qualified under FMLA. FMLA leave shall run concurrently with any paid time authorized under the provisions.

As an alternative to FMLA, the academic division of WKU has historically pursued informal arrangements and practices which enabled student needs to be met or essential faculty services to be provided when individual faculty members are unable to fulfill assigned duties and responsibilities due to the faculty member's own illness or incapacity. For WKU's policy on medical leave and FMLA forms, visit the WKU Human Resources Policies page at: <https://www.wku.edu/policies/human-resources/>.

Upon request and following the provisions of policy, faculty, including those with administrative responsibilities (academic department/unit heads), will be granted Paid Parental Leave following the birth or adoption of a child. Duration of the Paid Parental Leave is for up to one (1) full academic semester or sixteen (16) consecutive semester weeks that may cross semesters. Though sixteen (16) consecutive semester weeks may cross semesters, the faculty member remains obligated to complete full workload expectations for one (1) semester of the two (2) semesters.

All requests for Parental Leave as described under Policy 1.140V/4.631V should be made as far in advance as possible, but generally not less than thirty (30) calendar days before the leave is to commence. Requests for leave should be presented in writing to the applicable department/unit head. Employees may use the Paid Parental Leave benefit within twelve (12) months from the birth/adoption date. (Use FMLA forms on HR webpage)

For information on family and medical leaves of absence during the probationary period, see Section IV.B.4. of the Faculty Handbook or refer to the University's Extension of the Probationary Period policy at <https://www.wku.edu/policies/academic-affairs/>.

**XII.F. Medical, Dental, Disability, Long-Term Care, and Life Insurance Benefits:** All faculty members who are employed on a full-time basis have the opportunity to select medical and dental insurance coverage for themselves, their dependents and other qualified domestic partners, and disability, long-term care and life insurance coverage for themselves. For cost and additional information regarding these benefits, visit the WKU Human Resources web page at: <http://www.wku.edu/hr>.

**XII.G. Retirement Benefits:** Full-time faculty may be enroll in a defined benefit retirement plan administered through the Kentucky Teachers' Retirement System (KTRS), or defined contribution plan known as the Optional Retirement Plan (ORP). For information regarding these plans, including but not limited to vendors, employee/University contribution percentages, retirement income, disability/retirement options and retiree medical coverage, visit the WKU Human Resources web page at: <http://www.wku.edu/hr>.

**XII.H. Social Security:** The University and employees contribute to the Social Security Program, including Medicare. Information regarding payroll withholding can be found at: <https://www.wku.edu/hr/benefits/benefitsdocuments/employeebenefitscostchart18.pdf>.



**XII.I. Tax Sheltered Annuities:** Faculty members may make voluntary, tax-sheltered contributions to a supplemental retirement program as defined by section 403(b) of the Internal Revenue Code. For additional information regarding this contribution, visit the WKU Human Resources web page at: <http://www.wku.edu/hr>.

**XII.J. Tuition Waivers/Discounts:** Full-time employees, their spouses/domestic partners and/or children, are eligible for certain tuition waivers and discounts at WKU or any other Kentucky post-secondary educational institution. For information regarding tuition waivers and discounts, visit the WKU Human Resources web page at: <http://www.wku.edu/hr>.

**XII.K. Workers' Compensation:** WKU faculty members are covered by the University's Workers' Compensation policy. This policy provides for medical benefits and lost time payments for valid, on-the-job injuries. For information regarding workers' compensation benefits, visit the WKU Human Resources web page at: <http://www.wku.edu/hr>.

**XII.L. Smoking/Tobacco Use:** The use of all tobacco products is prohibited on all property that is owned, operated, leased, occupied, or controlled by the University, except as otherwise provided below (see [Policy 0.211V](#) for additional information). "Property" for purposes of this policy is defined to include buildings and structures, grounds, parking structures, enclosed bridges and walkways, sidewalks, parking lots, and university-owned vehicles.

The advertisement, sale and distribution of all tobacco products is prohibited on all property that is owned, operated, leased, occupied or controlled by the University.

Tobacco use may be permitted for research, academic, or clinical purposes in a controlled laboratory setting with prior approval of the dean or director responsible for the facility, the Provost or appropriate executive vice president, and in the case of smoking, the University Fire Marshal. Smoke, like any other laboratory air contaminant generated, shall be controlled locally in a chemical hood or other exhaust system that provides 100% exhaust to the outside.

Tobacco use may be permitted for fundamental traditional and ceremonial use of tobacco with prior approval of the dean or director responsible for the facility, the Provost or appropriate executive vice president, and in the case of smoking, the University Fire Marshal.

Tobacco use in facilities that are not owned, leased, or controlled by the University are subject to the tobacco policies applicable to those particular facilities, and are exempt from this regulation.

**XII.M. Cultural and Recreational Opportunities and Benefits:** The following represent examples of the variety of activities available to WKU faculty:

- The Department of Music sponsors a number of musical presentations including special seasonal concerts. In addition, many faculty and student recitals are given throughout the year.
- The Department of Theatre and Dance and the Western Players present a series of programs during the academic year. A small fee is charged for admission to major productions; however, there is no admission charge for one-act plays produced by the department.

- The University Gallery in the Ivan Wilson Center for Fine Arts presents a variety of historical and contemporary exhibits.
- The University Library facilities, as well as the Bowling Green Public Library, are available for recreational reading.
- The Preston Health and Activities Center is available to faculty members and their families through individual and family memberships that are offered at modest cost.
- WKU holds membership in the Sun Belt Conference and the National Collegiate Athletic Association. The schedule of intercollegiate athletic contests includes a variety of sports. Season tickets (maximum of two) for basketball, football, soccer, volleyball, and baseball are available to the faculty and staff at a reduced (50%) rate.
- A number of lakes and reservoirs are within driving distance of Bowling Green, and fishing and boating are popular activities for many faculty members.
- A 10 percent discount in University cafeterias and on most materials purchased at the WKU Store is offered to faculty and staff.
- The recreational facilities in the Downing University Center are available for use by faculty and staff.

**XII.N. Official Travel:** Each department has budgeted funds for travel. For information regarding travel policies and reimbursement forms, see Policy No. 3.101V on the Business and Finance Policies page: <https://www.wku.edu/policies/docs/198.pdf>.

**XII.O. Identification Cards:** The University provides identification cards for all regular employees. The card is designed for use in the University Libraries, Business Office, University Book Store, cafeterias, and recreational facilities. Cards may be obtained at the University I.D. Center located in the Downing University Center on Main Campus or at other designated regional campus sites.

**XII.P. Retired Personnel:** The University values the continued support and assistance of those who have retired from teaching, research, administrative, and staff positions. Upon retirement under the existing retirement system, University personnel are entitled to the following benefits: a University Identification Card, library privileges, computing services, a parking permit, access to University recreational facilities, dental and outpatient medical services that are available to other faculty members, purchase of tickets to academic and athletic events at the prevailing faculty rate, and enrollment in classes under the faculty-staff scholarship plan.

Retired faculty are also eligible to apply for research grants, to request office space when it is available, to attend without voting privileges meetings of the University Senate, to participate in academic processions, to be appointed to represent the University at academic ceremonies at other universities, to take part in all ceremonial functions of the University, and to have their names included in faculty lists in the *University Catalog*.

Retired personnel are entitled to additional benefits from affiliated organizations including purchases at the WKU Store at the prevailing prices for faculty and staff and the continuation of membership in the Service One Credit Union Inc.

**XII.Q. Service One Credit Union:** The University has an agreement with Service One Credit Union to provide on-campus banking services for students, faculty and staff. For locations and additional information regarding these services, see <http://www.socu.com>.

**XII.R. Health and Dental Hygiene Services:** WKU Health Services is a full service primary care center dedicated to providing WKU students, faculty, staff, alumni and their families with quality medical care. For information regarding cost and services, see <http://www.wku.edu/healthservices/>.

The Dental Hygiene Program of the Department of Allied Health is an academic unit that provides dental services for WKU students, faculty and staff. For information regarding cost and services, see <http://www.wku.edu/dentalhygiene/aboutdhclinic.php>.

**XII.S. Use of University Stationery and Postage:** The use of official University stationery and of the mailing service is restricted to faculty members, officers, and departments carrying on officially recognized and authorized business of the University. Stationery and metered postage are provided for official correspondence only.

**XII.T. Use of University logo and other Trademarks:** Use of any University logo and/or trademark is restricted. For guidelines regarding usage, see [http://www.wku.edu/marketingandcommunications/wku\\_branding.php](http://www.wku.edu/marketingandcommunications/wku_branding.php)

**XII.U. Building Security:** Faculty and staff members are urged to use good judgment to ensure security of keys/access cards to University buildings and to individual offices. Faculty members may obtain keys/access cards by a request through the department head, who in turn submits a written request to the Assistant Director of Facilities Management. If employment at the University terminates, or a faculty member is away on leave of absence, keys/access cards must be returned to the Physical Plant building.

**XII.V. Food Services:** Information regarding food services can be found at: <http://www.wku.edu/wkurg/>.

**XII.W. Institutional Publications:** The University has a number of publications that provide helpful information relevant to faculty life, including:

WKU Undergraduate Catalog: <http://www.wku.edu/undergraduatecatalog/>

WKU Graduate Catalog: [http://www.wku.edu/graduate/prospective\\_students/catalog.php](http://www.wku.edu/graduate/prospective_students/catalog.php)

University Master Calendar: <http://www.wku.edu/events/>

College Heights Herald: <http://www.wkuherald.com>

WKU Scholar: <http://www.wku.edu/scholar>

**XII.X. Parking Facilities:** Parking for faculty members is provided in designated areas on all campuses of WKU. Some of the lots are available for reserved parking only and some are available on a first come-first served basis. Official faculty and staff parking permits authorize use of faculty/staff parking lots. These permits are available through the Office of Parking and Transportation Services. Information regarding parking and other transportation issues can be found at: <http://www.wku.edu/transportation/>.

**XII.Y. Mail Service:** A contract station of the U.S. Post Office is located on the ground floor of the Downing University Center.

Faculty members may rent private mailboxes or may use the campus mail service, which is provided for each department. For additional information, see: <http://www.wku.edu/postal>.

The University provides a Campus Mail Service to aid in the internal administrative efficiency of the University. This service, which provides for the delivery of written communications that pertain to recognized and authorized official University business, may be used only by members of the University faculty, the administrative staff, the Students Government Association, and other organizations budgeted by the University.

### ***XIII. HANDBOOK USE AND AMENDMENT POLICY***

This Handbook shall be amended as required to reflect revisions/additions to policy and procedure affecting faculty at WKU, and for editorial purposes as defined below. If any date referenced in this handbook falls on a weekend/holiday, then the next working date becomes the effective date.

**XIII. A. Substantive Handbook Revisions:** Substantive revisions include the addition, deletion or revision of policy or procedure. The process for substantive revision is as follows:

1. A recommendation for revision is forwarded to the Senate Chair.
2. The recommendation shall be placed by the Senate Chair on the action agenda for the next meeting of the Senate Executive Committee.
3. The Senate Executive Committee reviews the recommendation and:
  - a. May agree by simple majority to include the recommendation on the action agenda for the next Senate meeting; or
  - b. May agree by simple majority to forward the recommendation to a standing committee or an ad hoc committee for additional review. Following this additional review, which is to be completed in a time frame appropriate to the magnitude of the revision, the recommendation is returned to the Senate Executive Committee as in No. 3.
4. For each recommendation placed on the action agenda of the Senate, the Senate may vote to:
  - a. Approve and forward the recommendation to the Provost; or
  - b. Not approve the recommendation and may return same to the referring committee with questions, comments or revisions. If the Senate returns the recommendation to the referring committee, the revision process must be initiated again pursuant to step "A/1" hereinabove.
5. Upon written approval by the Provost, each pertinent policy or procedural revision/addition that is pertinent to the contents of the Faculty Handbook:

- a. Must be officially incorporated into the Handbook by June 30 of the same academic year in which the new or amended policy is adopted;
- b. Will have an effective date of July 1 of the same academic year.

**XIII.B. Editorial Handbook Revisions:** Editorial revisions include updates to the organizational structure, web addresses and names/titles as well as other similar non-substantive changes and may occur at the recommendation of any WKU employee. The process for editorial revision is as follows:

1. A recommendation for editorial revision is forwarded to the Senate Chair.
2. The Senate Chair places the recommendation for editorial revision on the consent agenda for any meeting of the University Senate.
3. The Senate shall at that meeting review each recommendation on the consent agenda. For each recommendation reviewed, the Senate may:
  - a. Approve the recommendation to be immediately incorporated into the “official” Handbook (hard copy and online version); or
  - b. Remove the recommendation from the consent agenda to the action agenda for discussion, and then:
    - i. Approve the recommendation to be immediately incorporated into the “official Handbook (hard copy and online version); or
    - ii. Disapprove the recommendation and return same to the referring person/committee with questions, comments or revisions. If the Senate returns the recommendation to the referring person/committee, the revision process must be initiated again pursuant to step “B/1” hereinabove.
4. The Senate will submit all editorial changes to the Provost. All changes adopted will be effective on the succeeding edition of the Faculty Handbook.

# APPENDIX

## APPENDIX: FACULTY REGENT ELECTION

The election of Faculty Regent is authorized pursuant to KRS 164.321.

1. The initial ballot is to be completed on or before October 15<sup>th</sup>.
2. The election shall take place on a single weekday, preferably Monday through Thursday, between the hours of 8:00 a.m. and 4:00 p.m. Each voter shall vote for one candidate only.
3. The Faculty Regent will be sworn in at the fourth quarterly meeting and serve a three-year term from the time the oath of office is taken.

### ***Faculty Regent Criteria for Eligibility and Voter Eligibility***

4. Faculty Regent Candidates must be full-time teaching or research faculty at the assistant professor rank or above. Faculty are excluded if they hold an administrative role that encompasses personnel decisions such as a dean or department head, if they are library faculty, or if they plan to retire prior to the end of the term. The Faculty Regent cannot have a course reduction during their tenure as Regent since Kentucky considers that compensation and one cannot receive compensation for serving on the Board of Regents.
5. All full-time faculty may vote in the Faculty Regent election.
6. Issues of voter eligibility by members of the faculty must be reported in writing to the Senate Vice-Chairperson at least ten (10) working days prior to the initial ballot. The Vice-Chairperson, in consultation with the Chairperson, shall resolve questions of eligibility.

### ***Declaration of Candidacy***

7. Any eligible faculty member may declare candidacy for the Faculty Regent position. In addition, other faculty members may nominate any eligible faculty member. Nominations shall be accompanied by a statement of consent to serve signed by the nominee. All nominations are to be submitted to the Senate Vice-Chairperson at least ten (10) working days prior to the election.
8. A list including the name of each faculty member eligible to vote shall be prepared by the Office of the Provost. An asterisk shall be used to designate those faculty members eligible to vote but not eligible for election. At least twenty (20) working days prior to the initial ballot, an electronic copy of the eligibility list should be emailed to each department's faculty senator with instructions to check the eligibility list for their area and report errors and omissions to the Senate Vice-Chairperson. Candidates and those whose names are added to or deleted from the original eligibility list distributed by the Senate Vice-Chairperson should be so informed no later than nine (9) working days prior to the initial ballot. Those whose names are added to or deleted from the original eligibility list shall then have two (2) working days to raise any related issues with the Senate Vice-Chairperson.

### ***Communication to Faculty***

9. An electronic notice of the election shall be communicated by the Faculty Senate Vice-Chairperson via email to all faculty members at least twenty (20) working days prior to the initial ballot. This electronic communication shall indicate:
  - a. Date and times for the initial ballot (1. & 2.);
  - b. Criteria concerning eligibility of candidates and the voting electorate (4. & 5.);
  - c. An attached document listing those members of the faculty deemed eligible to vote as well as those eligible to serve as Faculty Regent (8.);
  - d. A procedure by which issues of eligibility shall be resolved (6.);



- e. The procedures by which a faculty member may have their name included on the initial ballot (7.).

#### ***Certification of the Initial Ballot***

10. The Senate Executive Committee shall meet at least eight (8) working days prior to the election to certify the nominations for Faculty Regent.
11. Names of the candidates shall be placed on the ballot in an order determined by a drawing conducted by the Vice-Chairperson of the Senate Executive Committee. The candidates or their designated representatives shall participate in the drawing. The Senate Vice-Chairperson shall communicate with the unit responsible for designing the electronic ballot to assure the correct order and spelling of candidates' names.
12. The Vice-Chairperson of the Senate Executive Committee shall immediately communicate by email both the finalized ballot and the date and times when the electronic ballot will be available for all faculty eligible to vote.

#### ***The Initial Election***

13. The Faculty Regent Election shall be held online via TopNet. The Senate Vice-Chairperson shall send a notice to all faculty via email that contains information about how to access the electronic ballot.
14. Absentee voters must either obtain a ballot directly from the Senate Executive Committee member representing their college and sign the official voter list or write a letter requesting a ballot with the signature on the letter constituting the signing of the eligibility list. The ballot must be returned in person or by mail to the Senate Executive Committee member in double envelopes at least 72 hours before the election begins (so that their names may be removed from online voting). The Senate Executive Committee shall put the date and time of receipt on the unopened absentee ballot and add absentee votes to the online vote totals prior to certification of the election.
15. Immediately upon closing of the polls, the results of the election shall be communicated to the Senate Executive Committee who shall affix its signatures to the results.
16. If a simple majority is obtained by any single individual, that person shall be the duly elected Faculty Regent.

#### ***Subsequent Elections***

17. If a simple majority is not obtained on the initial ballot, a subsequent online election shall take place. Policies and procedures of the initial election shall apply to the subsequent election.
18. A subsequent election shall take place in not less than five (5) nor more than ten (10) working days from the previous election.
19. The second election ballot shall include those individuals receiving the highest number of votes and whose votes total fifty (50) percent of the votes cast.
20. Elections shall continue according to established procedures until one candidate receives a simple majority.

#### ***Notification of the Elected Faculty Regent***

21. The final certified results as attested by the Senate Executive Committee shall be delivered immediately to the President of the University by the Chairperson of the Senate. Members of the Senate Executive Committee shall hold the results of the election in strict confidence

until the President of the University officially releases the results or allows the Senate Chairperson to do so.

*The election of Faculty Regent is authorized pursuant to KRS 164.321.*

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