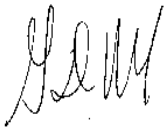
With responses for each recommendation

Gordon Emslie Digitally signed by Gordon Emslie DN: cn=Gordon Emslie, o, ou=WKU, email=gordon.emslie@wku.edu, c=US Date: 2013.06.13 09:53:47 -05'00'

Recommendation 2013-4-11: UNIVERSITY SENATE RECOMMENDATION TO THE PROVOST
The University Senate recommends approval of the Proposal to Amend WKU Faculty Handbook: Substantive Change 2013-001 — Tenure at Appointment, as per the Faculty Handbook Committee report.



Approved

Proposal to Amend WKU Faculty Handbook: <u>Substantive Change</u>

2013-001 Tenure at Appointment

Substantive change is defined as addition, deletion, or revision of policy or procedure.

Contact Name: Kelly Madole

Date Submitted: 11/29/12

Contact Email address: kelly.madole@wku.edu

Contact Phone number: 56475

1. Type of Change:

☒ Addition: Where possible, identify the section of the handbook to which addition is proposed: IV.B.3.

☐ Deletion: Identify the section of the handbook from which deletion is proposed:

☐ Revision: Identify the section of the handbook to which revision is proposed:

2. Proposals should be made in the form of text intended as an addition to or a replacement of, in whole or in part, some current section of the Faculty Handbook.

Current wording of section IV.B.3.b:

> The procedures to be followed in tenure recommendations are:

<u>Change</u> IV.B.3.b to read:

> **For faculty hired with a probationary period**, the procedures to be followed in tenure recommendations are:

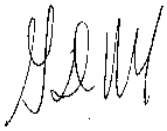
<u>Add</u> a section IV.B.3.c that reads:

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.

3. Rationale for amendment:

Establish procedures for granting tenure at appointment.

Recommendation 2013-4-12: UNIVERSITY SENATE RECOMMENDATION TO THE PROVOST
The University Senate recommends approval of the Proposal to Amend WKU Faculty Handbook: Substantive Change 2013-002 — Faculty Appointments, as per the Faculty Handbook Committee report.



Approved

Proposal to Amend WKU Faculty Handbook: <u>Substantive Change</u>

2013-002 Faculty Appointments

Substantive change is defined as addition, deletion, or revision of policy or procedure.

Contact Name: Kelly Madole | Date Submitted: 3/27/13

Contact Email address: kelly.madole@wku.edu | Contact Phone number: 56475

1. Type of Change:

☐ Addition: Where possible, identify the section of the handbook to which addition is proposed:

☐ Deletion: Identify the section of the handbook from which deletion is proposed:

☒ Revision: Identify the section of the handbook to which revision is proposed:

II.A.1

2. Proposals should be made in the form of text intended as an addition to or a replacement of, in whole or in part, some current section of the Faculty Handbook.

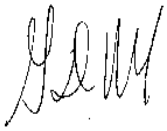
The faculty search process provides that the Chair of the Search Committee (after consultation with the Search Committee) will forward the strengths and weaknesses of each **interviewed** candidate for a faculty position to the Department Head, without selecting, ranking, or recommending any single candidate. 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 ~~extend~~ **recommend to the Board of Regents** good faith offers of employment to prospective employees ~~contingent upon subsequent approval by~~

Unless otherwise specifically stated in writing, new faculty members ~~receive temporary probationary appointments for the duration of one academic year~~ **are appointed with a probationary period leading to tenure. During the probationary period they receive continuance reviews as per section IV**. Full-time, tenure track faculty hold the academic rank of assistant professor, associate professor, or professor and teach a full course load as stipulated by the University, or ~~has~~ **have** an academic assignment **that is** more than fifty percent (50%) within an academic department or program.

3. Rationale for amendment:

Clarification and wording.

Recommendation 2013-4-13: UNIVERSITY SENATE RECOMMENDATION TO THE PROVOST
The University Senate recommends approval of the Proposal to Amend WKU Faculty Handbook: Substantive Change 2013-003 — Faculty Appointments, as per the Faculty Handbook Committee report.



Approved

Proposal to Amend WKU Faculty Handbook: Substantive Change

2013-003 Faculty Appointments

Substantive change is defined as addition, deletion, or revision of policy or procedure.

Contact Name: Kelly Madole | Date Submitted: 3/27/13

Contact Email address: kelly.madole@wku.edu | Contact Phone number: 56475

1. Type of Change:

☐ Addition: Where possible, identify the section of the handbook to which addition is proposed:

☐ Deletion: Identify the section of the handbook from which deletion is proposed:

☒ Revision: Identify the section of the handbook to which revision is proposed:

II.A.2

2. Proposals should be made in the form of text intended as an addition to or a replacement of, in whole or in part, some current section of the Faculty Handbook .

2. Faculty Members Appointed to Positions Requiring Doctoral Degree

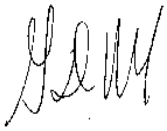
Delete the following paragraph in Section II.A.2:

Faculty members appointed to tenure-track positions requiring a doctoral degree and who hold a probationary term of appointment may be granted an extension of the maximum probationary period with no resulting change in employment obligations according to University policy. For more on extension of the probationary term, see academic policy 1.1240

3. Rationale for amendment:

Paragraph is not relevant to this section. Same language appears in Section IV.B.4 where it is more appropriate.

Recommendation 2013-4-14: UNIVERSITY SENATE RECOMMENDATION TO THE PROVOST
The University Senate recommends approval of the Proposal to Amend WKU Faculty Handbook: Substantive Change 2013-004 — Promotion decisions, as per the Faculty Handbook Committee report.



Approved

Proposal to Amend WKU Faculty Handbook: Substantive Change

2013-004 Promotion decisions

Substantive change is defined as addition, deletion, or revision of policy or procedure.

Contact Name: Kelly Madole | Date Submitted: 3/27/13

Contact Email address: kelly.madole@wku.edu | Contact Phone number: -56475

1. Type of Change:

☐ Addition: Where possible, identify the section of the handbook to which addition is proposed:

☐ Deletion: Identify the section of the handbook from which deletion is proposed:

☒ Revision: Identify the section of the handbook to which revision is proposed:

III.D.1

2. Proposals should be made in the form of text intended as an addition to or a replacement of, in whole or in part, some current section of the Faculty Handbook.

Current wording: University policy requires the following for promotion at every rank: sustained achievement appropriate for this rank in teaching effectiveness, research/creative activity, and University/public service.
Sustained achievement will be considered only as it is relevant to the individual's area of professional competence. Further, only contributions since the last promotion will be considered for the next promotion. It is the responsibility of the candidate seeking promotion to provide promotion committees with the appropriate evidence on which to base a decision.

Suggested revision: 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.

3. Rationale for amendment:

Allow consideration of candidate’s entire body of work while still emphasizing recent work. Eliminate questions about contributions that occur in the “dead time” from submission of portfolio to promotion decision.

Recommendation 2013-05-08: UNIVERSITY SENATE RECOMMENDATION TO THE PROVOST

• The University Senate recommends approval of the Proposals to Amend WKU Faculty Handbook — Substantive Changes:

2013-005 Continuance recommendations

2013-006 Continuance Dates

2013-008 Clarification of Appeal

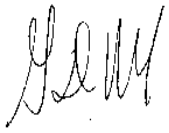
2013-009 Mandatory Tenure Year

2013-010 Mandatory Promotion and Tenure

2013-011 BOR approval of Handbook

• The University Senate DOES NOT recommend approval of the Proposal to Amend WKU Faculty Handbook — Substantive Change:

2013-007 Conflict of Interest



From: Kelly Madole, Handbook Committee Chair
To: Mac McKerral, Senate Chair
Re: Recommendations for Substantive Revisions to the Faculty Handbook, 18th Ed.
Date: April 25, 2013

The Handbook Committee recommends the following substantive revisions to the WKU Faculty Handbook, 18th Edition:

1) 2013-005 Continuance recommendations
2) 2013-006 Continuance Dates
3) 2013-007 Conflict of Interest
4) 2013-008 Clarification of Appeal
5) 2013-009 Mandatory Tenure Year
6) 2013-010 Mandatory Promotion and Tenure
7) 2013-011 BOR approval of Handbook

Proposal to Amend WKU Faculty Handbook: <u>Substantive Change</u>

Approved

2013-005 Continuance Recommendations

Substantive change is defined as addition, deletion, or revision of policy or procedure.

Contact Name: Kelly Madole | Date Submitted: 2/25/13

Contact Email address: kelly.madole@wku.edu | Contact Phone number: 56475

1. Type of Change:

☐ Addition: Where possible, identify the section of the handbook to which addition is proposed:

☐ Deletion: Identify the section of the handbook from which deletion is proposed:

☒ Revision: Identify the section of the handbook to which revision is proposed:

Section IV, B, 3, a, **Policies and Procedures for Evaluation of Non-Tenured Faculty and for Tenure Recommendations**

2. Proposals should be made in the form of text intended as an addition to or a replacement of, in whole or in part, some current section of the Faculty Handbook.

See attached revisions.

3. Rationale for amendment:

There are two main reasons for this revision. First, the current version of the handbook was vague as to the means by which department heads consult with tenured faculty on continuance candidates. The proposed revision provides structure and uniformity across units by codifying some of the existing practices in departments and colleges. This revision does not change powers currently held by department heads, deans, or provost to make their own recommendations as the process continues.

Second, the dates by which recommendations are to be forwarded to the next level are clarified and revised. Provost Emslie requested that 1) the timelime provide the provost with at least one week in which to review recommendations from the colleges and 2) still provide the candidate with timely notification of the final continuance recommendation.

Provost Emslie further suggested eliminating the first year review, which occurs in the spring semester. The committee discussed this recommendation at length, but voted to maintain the first year review and apply the same process for the first year review as that used in the later reviews. Dates are thus elaborated for the first year review as well. Note that the spring semester (first year) timeline is more compressed than the fall semester (second through fifth year) timeline, but this should not be a problem as there will be significantly fewer reviews in the spring semester.

Current Wording	Revised Wording
3. Policies and Procedures for Evaluation of Non-Tenured Faculty and for Tenure Recommendations: a. The procedures to be followed in continuance and non-continuance recommendations are: Full-time faculty members holding the rank of assistant professor, associate professor, or professor and eligible for tenure are appointed with the understanding that there will be a probationary period. Faculty members appointed at the rank of instructor are employed on an annual or multi-year letter of appointment and are not eligible for tenure. In addition to the regular annual evaluations of all faculty members, untenured faculty members will be evaluated in the second through fifth year of their probationary period on their progress toward tenure. At the beginning of each fall semester, the department heads will submit to the dean of the college a cumulative evaluation of faculty in their second to fifth year of probation. The purpose of this evaluation is to determine whether there has been sufficient progress toward tenure to justify continuation of the faculty member. In making the evaluations on progress toward tenure, department heads shall consult with the tenured faculty excluding any spouse/domestic partner of the faculty member seeking tenure in the department and shall evaluate the faculty member specifically in the areas of teaching, research/creative activity, and University/public service. Any deficiency in performance will be clearly identified, documented and explained and the faculty member under review will be given a copy of the evaluation with an opportunity to respond. The department head's evaluation and recommendation will be submitted to the college dean no later than September 10. In case of a negative recommendation, the department head will inform the faculty member in writing. The dean's response and recommendation shall	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. Materials shall be submitted by January 30 of the first year of appointment and by September 1 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. Submitted materials shall comply with the department's continuance policy. The department's tenured faculty serves as the continuance committee, excluding any spouse/domestic partner of the faculty member seeking continuance in the department, 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 be present at the meeting must notify the department head in advance and may submit a sealed envelope with a separate ballot for each person under review, which will be opened by the committee chair and included in the vote tally.

be submitted to the Provost no later than September 20. 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 September 25. The President will notify the faculty member of any decision for non-continuation on or before October 1.	By September 10 (February 7 for the first year evaluation), the committee chair will send a memorandum to the department head in which the faculty discussion is summarized and the vote count reported. The department head will then promptly inform in writing each candidate for continuance of the results of the committee's vote. Any deficiency in performance will be clearly identified, documented and explained and the faculty member under review will be given a copy of the evaluation with an opportunity to respond. Candidates may submit a response to department head. The department head's recommendation to the dean will include the result of the continuance committee's vote and any response from the candidate. 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). In case of a negative recommendation, the department head will inform the faculty member in writing. The dean's response and 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 7 for the first year evaluation).

Proposal to Amend WKU Faculty Handbook: <u>Substantive Change</u>

Approved

20013-006 Continuance Dates

Substantive change is defined as addition, deletion, or revision of policy or procedure.

Contact Name: Kelly Madole | Date Submitted: 2/25/13

Contact Email address: kelly.madole@wku.edu | Contact Phone number: 56475

1. Type of Change:

☐ Addition: Where possible, identify the section of the handbook to which addition is proposed:

☐ Deletion: Identify the section of the handbook from which deletion is proposed:

☒ Revision: Identify the section of the handbook to which revision is proposed:

IV.C.1. **Non-Reappointment or Negative Tenure Recommendations**

2. Proposals should be made in the form of text intended as an addition to or a replacement of, in whole or in part, some current section of the Faculty Handbook.

Modify IV.C.1.

If a decision is made not to recommend ~~reappointment~~ **continuance** of a probationary faculty member or not to recommend tenure for a faculty member ~~upon completion of the probationary period~~, the ~~Provost~~ **President** shall provide the affected faculty member official written notice of the recommendation:

- By March ~~1~~ **March 7** of the first year of appointment,
- By October ~~1~~ **[October 15]** of the second year of appointment and thereafter (per section IV.B.3.a);
- By February 15 of the faculty member's tenure review year (per section IV.B.3.b.).

3. Rationale for amendment:

This section confirms the final date by which a candidate receives notice of a negative continuance or tenure recommendation. As such, the administrative official making the notification should be the President, not the Provost. Dates are revised to match the new continuance recommendation dates per recommendation Handbook Committee Recommendation 2013-005.

Proposal to Amend WKU Faculty Handbook: <u>Substantive Change</u>

Not considered, per Senate Recommendation

2013-007 Conflict of Interest in Evaluations

Substantive change is defined as addition, deletion, or revision of policy or procedure.

Contact Name: Kelly Madole Date Submitted: 3/27/13

Contact Email address: kelly.madole@wku.edu Contact Phone number: 56475

1. Type of Change:

☒Addition: Where possible, identify the section of the handbook to which addition is proposed:

II.X

☐Deletion: Identify the section of the handbook from which deletion is proposed:

☒Revision: Identify the section of the handbook to which revision is proposed:

II.B.3, III.E.2, IV.B.3, IV.B.3.b.iv

2. Proposals should be made in the form of text intended as an addition to or a replacement of, in whole or in part, some current section of the Faculty Handbook.

ADD at the end of section II.X the following text:

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.

Significant scholarly collaboration, such as co-authorship of publications, collaboration on grants, or supervision of a candidate's graduate work, also may present a potential conflict of interest.

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

Also, REVISE II.B.3, III.E.2, IV.B.3, IV.B.3.b.iv

Replace references to spouse/domestic partner with "any faculty member having a conflict of interest as defined in Section II.X"

3. Rationale for amendment: The current version of the Handbook specifies only that spouses or partners of the candidate shall not serve in an evaluative role. However, the basis for a conflict of interest should

be more clearly described and expanded to include a broader range of familial relationships as well as situations involving a financial conflict of interest.

The committee also expressed concerns about situations in which the scholarly independence of a candidate is questionable due to significant collaboration with senior colleagues. Hence, the recommendation was made to include the paragraph that defines significant scholarly collaboration as a conflict of interest. It is not the committee's intent to inhibit collaboration between colleagues. The committee recognizes that the inclusion of this section will require thoughtful discussion by the Senate Executive Committee and/or the University Senate.

Proposal to Amend WKU Faculty Handbook: <u>Substantive Change</u>

Approved

2013-008 Clarification of Appeal

Substantive change is defined as addition, deletion, or revision of policy or procedure.

Contact Name: Kelly Madole Date Submitted: 03/27/13

Contact Email address: Kelly.madole@wku.edu Contact Phone number: 5-6475

1. Type of Change:

☐ Addition: Where possible, identify the section of the handbook to which addition is proposed:

☐ Deletion: Identify the section of the handbook from which deletion is proposed:

☒ Revision: Identify the section of the handbook to which revision is proposed:

III.F.2 - 4 **Promotion Recommendation Deadlines**

2. Proposals should be made in the form of text intended as an addition to or a replacement of, in whole or in part, some current section of the Faculty Handbook.

See below.

3. Rationale for amendment: To clarify the nature of the promotion recommendation process especially in the case of negative recommendations. The current version of the handbook refers to “appeals’. In actuality, the candidate is not appealing to a higher level; he or she is simply allowing the application to proceed to the next level of recommendation. A candidate may choose to follow the complaint procedure following a final negative recommendation and this option is noted in the revision.

Current Wording	Proposed Wording
2. Department Recommendation: Departments are to make recommendations to their respective deans by November 1. In case of a negative vote by the departmental rank and promotion committee, the faculty member has the option of withdrawing the application or requesting that it be forwarded to the department head. If the department head concurs with the negative committee recommendation, the faculty member may withdraw the application or appeal the negative recommendation to the college level.	**2. Department Recommendation:** Departments are to make recommendations to their respective deans by November 1. In **the** case of a negative vote by the departmental rank and promotion committee, the faculty member has the option of withdrawing the application or **allowing the recommendation to proceed** to the department head. If the department head concurs with a negative committee recommendation, the faculty member may withdraw the application or **allow the application to proceed** to the college level.
3. Dean Recommendation: Deans will make their recommendations to the Provost by December 1. In case of a negative recommendation by the college dean, the faculty member may withdraw the application or appeal to the Provost.	**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.
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. In case of a negative recommendation, the faculty member may withdraw the application or request a review of his or her credentials. The faculty member also has the option to file a formal grievance, after all reviews and appeals have been exhausted, in accordance with the procedures outlined in the this Handbook. 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	**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. In **the** case of a negative recommendation, the faculty member may withdraw the application or request a review of his or her credentials **and a written explanation of the negative recommendation**. 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. **If a candidate's promotion is not recommended to the Board of Regents and he or she believes 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.), a complaint may be filed as described in Section V. of this Handbook.** The faculty member also has the option to file a formal grievance, after all reviews and appeals have been exhausted, in accordance with the procedures outlined in this Handbook.

Proposal to Amend WKU Faculty Handbook: Substantive Change

Approved

2013-009 Mandatory Tenure Year

Substantive change is defined as addition, deletion, or revision of policy or procedure.

Contact Name:Kelly Madole Date Submitted:

Contact Email address: Kelly.madole@wku.edu Contact Phone number: 5-6475

1. Type of Change:

☐ Addition: Where possible, identify the section of the handbook to which addition is proposed:

☐ Deletion: Identify the section of the handbook from which deletion is proposed:

☐ Revision: Identify the section of the handbook to which revision is proposed:

IV.B.3.b.i.

2. Proposals should be made in the form of text intended as an addition to or a replacement of, in whole or in part, some current section of the Faculty Handbook .

Current Wording: The department head will be responsible for notifying probationary faculty of the date for consideration of mandatory tenure. A faculty member who has applied for tenure before the sixth year of service at WKU may withdraw from the process at any time without prejudice. However, a tenure review must occur in the sixth 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 sixth-year review constitutes a de facto resignation from WKU effective at the end of the academic year.

Proposed Wording: 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 yea**r 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.**

3. Rationale for amendment:

For most applicants, the sixth year is the mandatory tenure review year. However, in some circumstances (e.g., the applicant has received an extension of the probationary period), the sixth year of service is not the mandatory year. This revision allows for that possibility.

In addition, the revision codifies what has become practice with regard to the effective date of resignation for candidates who withdraw their tenure application.

Proposal to Amend WKU Faculty Handbook: Substantive Change

Approved

2013-010 Tenure and Promotion in Mandatory Year

Substantive change is defined as addition, deletion, or revision of policy or procedure.

Contact Name: Kelly Madole Date Submitted: 03/27/13

Contact Email address: Kelly.madole@wku.edu Contact Phone number: 56475

1. Type of Change:

☒Addition: Where possible, identify the section of the handbook to which addition is proposed:

III.F.1

☐Deletion: Identify the section of the handbook from which deletion is proposed:

☒Revision: Identify the section of the handbook to which revision is proposed:

III.F.1

2. Proposals should be made in the form of text intended as an addition to or a replacement of, in whole or in part, some current section of the Faculty Handbook.

III.F.1

Current wording: Faculty members are given the opportunity to apply for promotion in September with a deadline of October 1 for application.

Proposed wording: 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 and may not, even in the case of a negative recommendation at any level, withdraw their promotion application.**

3. Rationale for amendment:

Per Provost Emslie's recommendation: Although early application for promotion to associate professor may be considered, an application by an assistant professor for tenure must be accompanied by application for promotion. That is, according to the Provost, the university discourages the practice of recommending tenure to assistant professors in the absence of a concomitant recommendation for promotion.

The Handbook Committee endorsed the recommendation. The concurrence was based on the idea that this amendment reinforces the importance of on-going scholarship in tenure and promotion decisions.

Proposal to Amend WKU Faculty Handbook: <u>Substantive Change</u>

2013-011 Require Board of Regents Approval for Handbook

Not approved: see below

Substantive change is defined as addition, deletion, or revision of policy or procedure.

Contact Name: Patricia Minter | Date Submitted: 3/29/2013

Contact Email address: patricia.minter@wku.edu | Contact Phone number: 5-5098

1. Type of Change:

☐ Addition: Where possible, identify the section of the handbook to which addition is proposed:

☐ Deletion: Identify the section of the handbook from which deletion is proposed:

X ☐ Revision: Identify the section of the handbook to which revision is proposed:

XIII, 5, b.

2. Proposals should be made in the form of text intended as an addition to or a replacement of, in whole or in part, some current section of the Faculty Handbook .

Revise XIII, 5, b. to add (addition is bolded): Will have an effective date of July 1 of the same academic year, **subject to approval by the Board of Regents.**

3. Rationale for amendment:

This returns the Faculty Handbook to its previous standard, which required approval by the Board of Regents for substantive changes and is consistent with best practices of governance boards and shared governance to establish the Faculty Handbook as the governing document for faculty worklife.

The Provost has expressed the concern that explicitly providing for Board of Regents approval allows the Board to become overly involved in academic affairs; however, the Board does not have line item authority over documents such as the Handbook. Thus, the Handbook Committee voted to endorse this amendment.

Note: The Handbook revision was presented to the Board of Regents as an Information item, not an Action item in July 2012. The proposed change restores it to an action item, which it was prior to 2011.

<u>Provost's Response to Recommendation 2013-11</u>

Section II.B.2 of the WKU Policy on Policies (Policy 0.000x) states that "all University Policies must be approved by the President and, *<u>where determined appropriate by the President</u>*, by the WKU Board of Regents" (emphasis added). Section III.A.5 goes on to say that "the determination of whether a policy requires approval by the Board of Regents *<u>shall be made by the President</u>*." (again, emphasis added). It would be inappropriate to include a statement in a specific policy (in this case the Faculty Handbook, which, by Paragraph II.3.B of Policy 1.0002, is a document of University policy) that is at variance with these provisions.