

WKU Faculty Senate: November 18, 2021

Senate Recommendation 2021-11-06 Faculty Handbook d-1-d-handbook-ii-a-1-ii-x-iii-iv-vii-  
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Faculty Senate Chair

Provost and Vice President for Academic Affairs

**Proposal to Amend WKU Faculty Handbook**  
**(TABLED BY SENATE, May 2021)**

*Editorial revisions include updates to the organizational structure, web addresses and names/titles, as well as other similar non-substantive changes.*

Section(s) to be amended: II.A.1 Generally; II.X. Faculty Evaluation; III. Faculty Rank and Promotion; IV. Faculty Tenure and Continuance; VII. Termination of Faculty

Corresponding page number(s): 6; 18-19; 19-32; 32-39; 45

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1. Type of Change:

- Editorial (non-substantive)
- Substantive

*Editorial revisions include updates to the organizational structure, web addresses and names/titles, as well as other similar non-substantive changes.*

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:

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:** [see Handbook]

**Revision:** [see below]

Revisions as proposed and tabled by Senate in May 2021 remain the same EXCEPT for words in **green font and/or highlighted in green** which are new to this proposal based on input received from an ad hoc group of WKU instructors.

## **Rationale for amendment:**

WKU has five faculty tracks: traditional and pedagogical (tenure-eligible), and clinical, research, and instructor (not tenure eligible). Currently, Academic Affairs has policies for three of these tracks: 1.1962 *Research Track Faculty*, 1.1991 *Pedagogical Track Faculty*, and 1.1980 *Clinical Track Faculty*.

The proposed additions to the Faculty Handbook would eliminate the need for these three policies by providing equivalent information regarding appointment, promotion, evaluation, and termination for all five faculty tracks.

None of the proposed changes will have an impact on current procedures; the committee's goal is only to consolidate information for all faculty tracks in one place, the Faculty Handbook.

### II.A.1 Generally:

- Added brief description of each of the five faculty tracks.
- **Added “continuing” as modifier in Instructor Track Faculty, II.A.1.b.3**
- Moved information on reassignment of faculty.
- Language adapted from policies 1.1991 *Pedagogical Track Faculty*, 1.1980 *Clinical Track Faculty*, 1.1962 *Research Track Faculty*, and 1.2001 *Continuing Appointments*.

### II.X. Faculty Evaluation:

- Clarified that the faculty evaluation process is the same for traditional, pedagogical, clinical, and instructor track faculty.
- Added information on evaluation of Research faculty from policy 1.1962 *Research Track Faculty*.

### III. Faculty Promotion:

- Re-named section Faculty Rank and Promotion
- Removed academic experience requirement from Assistant Professor ranks. These are entry-level positions. Academic experience and sustained achievement requirements were relevant when WKU was incorporating faculty from the Bowling Green Community College.
- **Removed “ongoing” and added “continuing” as a modifier in Instructor Faculty Ranks, III.B.3**
- **Removed “typically,” III.F**
- **Removed “typically,” III.G**
- Added procedures for recommending promotion for Clinical and Research faculty from policies 1.1980 *Clinical Track Faculty* and 1.1962 *Research Track Faculty*.

### IV. Faculty Tenure and Continuance:

- Specified that this section related only to tenure-eligible faculty.
- Added description of continuance committee membership.
- Added language from policy 1.1991 *Pedagogical Track Faculty* regarding failure to earn early tenure.

### VII. Termination of Faculty

- **Added Instructor contract extension language, VII.A.1.d.**

- Added information on termination of non-tenured faculty from policies 1.2001 *Continuing Appointments* and 1.1962 *Research Track Faculty*.
- Referencing the non-continuance process is erroneous for faculty track who don't go through continuance (clinical, research, and instructor). These faculty should use the grievance process if not renewed.

In the proposed revision, yellow highlight indicates adding language to the faculty handbook. In most cases this is language adapted directly from current academic affairs policies. Blue highlight indicates moving language from one section of the handbook to another.

Revisions begin on the next page.

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[...]

### ***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: <http://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 **and respective faculty track**, ~~the ability to impart knowledge through effective teaching, and to engage in research/creative endeavors.~~

**The process of creating a pedagogical faculty position shall be initiated by a department head/chair/director only after a majority vote in favor of such a position by the tenure-eligible faculty within that unit. The process of creating a research faculty position may be initiated by a faculty member or by a department head.**

Faculty and staff member appointments are governed by **Human Resources (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 appointment letter shall come from the dean and may be supplemented by a letter from the department head/chair/director.** 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.

**The rank of the initial appointment shall be based on available funding and the stature and accomplishments of the applicant and shall be determined by the dean following a recommendation from the department head/chair/director. In formulating such recommendations, the department head/chair/director should seek the advice of departmental faculty at or above the rank suggested. See Section III for specific rank criteria.**

#### **a. Tenure-eligible Appointments:**

##### **1. Traditional Track Faculty**

**A traditional track faculty member is a full-time, tenure-eligible, faculty member who holds the rank of assistant professor, associate professor, or professor. Traditional track faculty engage in a variety of activities such as classroom and laboratory instruction, scholarly activities including research and creative endeavors, and service. Traditional track faculty are generally appointed to a full-time nine-month position.**

##### **2. Pedagogical Track Faculty**

**A pedagogical faculty member is a full-time, tenure-eligible, faculty member engaged primarily in instructional activities. Pedagogical faculty members are expected to bring a high level of conceptual and theoretical ideas to their instructional tasks and to have innovative skill sets that enhance the intellectual development of their colleagues and the students with whom they interact. Pedagogical faculty appointments do not, however, carry an expectation of involvement in scholarly research. In recognition of this, such pedagogical faculty members will normally have a teaching load higher than that of traditional track tenure-eligible faculty members in their unit who carry responsibilities in both teaching and research.**

**Pedagogical track faculty members are not prohibited from engaging in research. They may apply for internal research opportunities (e.g., internal grants) and may participate in any incentive program for faculty who support a fraction of their salary from extramural research funds. Pedagogical track faculty are generally appointed to a full-time nine-month position.**

~~Unless otherwise specifically stated in writing, new~~ **Tenure-eligible** 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/**assistant pedagogical professor**, associate professor/**associate pedagogical professor**, or professor/**pedagogical 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.~~

Initial appointments at the rank of Professor/Pedagogical Professor shall carry tenure. Such appointments must be approved by the Provost, the President, and the WKU Board of Regents. For faculty who may be granted tenure at appointment, the procedures to be followed confirm the recommendation 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.

## **b. Non-tenure Eligible Appointments:**

### **II.A.2 1. 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/~~chair/director~~, at least four months prior to the end of each year of the appointment and communicated to both the candidate and the department head/~~chair/director~~.

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.

### **2. Clinical Track Faculty**

~~A clinical faculty member is a non-tenure-eligible, full-time faculty member engaged primarily in instruction, supervision of students, and/or outreach in a clinical or practice setting. The clinical faculty member usually possesses an earned doctorate, or other terminal degree or the equivalent; however, individuals with a master's degree may hold positions at the Clinical Assistant Professor or Clinical Associate Professor ranks. Individuals appointed to clinical faculty positions 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. Clinical track faculty are generally appointed to a full-time nine-month position.~~

### **3. Instructor Track Faculty**

~~Instructor appointments ranks are designed for faculty in continuing, non-tenure eligible faculty positions (including special "In-Residence" appointments) 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. Instructor track faculty are generally appointed to a full-time, nine-month position.~~

#### 4. Research Track Faculty

A research faculty member is a full-time faculty member engaged primarily in research, creative activity and/or outreach. ~~The research faculty member usually possesses an earned doctorate, or other terminal degree or the equivalent and considerable research experience in his/her field.~~ Individuals appointed in research faculty positions should demonstrate a basic level of leadership competence and be able to provide oversight over funded programs. Research faculty should be engaged in a personal 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.

Except during the agreed startup period, or during periods of bridge funding, the salaries and fringe benefits for research faculty members are to be paid from external sources of funds. The existence of any research faculty position is contingent upon availability of funding.

Research faculty will be appointed to 12-month appointments but may be appointed at between 50% and 100% effort. Appointments may only continue if funding is sufficient to support at least 50% effort. The Office of Research and/or the Colleges will maintain budgetary procedures for establishing a "bridge fund" from F&A monies accrued by the University from external grants and contracts. The bridge fund will be used to support existing research faculty members in the event of a break in the continuity of external funding.

Although effort may be funded at between 50% and 100%, research faculty are considered full time and are eligible to receive all benefits accruing to faculty.

If funding is less than 100%, benefits that are not pro-rated by the salary (e.g., health insurance) shall be charged at the proportion of funding to the external funding source(s) with the remainder paid by the Office of Research and Creative Activity and/or the Colleges.

Pro-rated benefits shall depend on the actual salary drawn, not the possible salary, so shall be reduced in the case that funded effort is less than 100%.

Research-track faculty may be appointed for periods of between two and five years, but at no time will the term of appointment be greater than one year beyond currently available funding.

Research faculty may seek reappointment either at the end of the term of appointment, or up to one year before that time. Reappointment will be made by the dean, with a recommendation from the department head.

Full-time, **regular**, 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 **and as appropriate for their rank.** ~~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.

**II.A.2 Transfer Between Faculty Tracks:** There is no provision for "transfer" from a non-tenure eligible faculty appointment to a tenure-eligible faculty appointment, **or between different faculty tracks.** Appointment to a **different tenure-eligible** faculty track requires appointment de novo in that position and resignation from any previously held position at WKU. **A faculty member with tenure who transfers to a non-tenure eligible track position irrevocably resigns tenure and may only regain tenure de novo.**

**II.A.3 Reassignment of Faculty:** The Division of 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. Faculty who are reassigned to a new academic unit will receive a letter from the Dean noting the transition. The letter will reference the criteria under which the faculty member will be reviewed.

## II.B. Faculty – Workload:

[...]

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

[...]

**II.X.1 Research Track Faculty:** Research-track faculty members are expected to provide annual reports to the department head outlining their productivity, using the same reporting mechanisms as ~~tenure-track~~ other faculty in his/her academic unit.

- a. Annual review of a research-track faculty member shall be carried out by joint action of the primary supervisor and the department head (who may be one and the same person). In the case that other person(s) are responsible for providing some fraction of the salary funding of the faculty member, all these persons shall be consulted by the department head as part of the evaluation, as well as a possible subsequent determination of a pay raise.
- b. The annual review shall determine whether progress is unsatisfactory, marginal, good, or excellent.
- c. In the event that an increase in salary is warranted, but there are insufficient funds available to pay this raise, the proportional effort of the faculty member shall be reduced accordingly. In the event that this would lead to a reduction of effort below 50%, the pay raise shall be reduced accordingly.

## III. FACULTY RANK AND 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 Ranks 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:

~~An individual serving in his/her initial academic appointment in the clinical track would be appointed at this rank.~~

- 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 Ranks 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:

An individual serving in his/her initial academic appointment in the research track would be appointed at this rank.

- 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 Faculty Ranks:** Instructor ranks are designed for faculty in ongoing/continuing 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

An individual serving in his/her initial academic appointment in the instructor track would be appointed at this rank.

1. 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. Traditional Faculty Ranks ~~Criteria for Individual Ranks~~ (Tenure Eligible):**

**III.C.1. ~~Faculty Ranks~~**

**a. Professor:**

- a. 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 in accordance with Policy 1.111V Evaluation of Faculty Credentials.

- i. Academic Experience: a minimum of five years' service at the rank of associate professor before a faculty member is eligible to apply for promotion.
- ii. 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 in accordance with Policy 1.111V Evaluation of Faculty Credentials.

- 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 **in accordance with Policy 1.111V Evaluation of Faculty Credentials.**
- 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:**

**An individual serving in his/her initial academic appointment in the traditional track would be appointed at this rank.**

- 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 **in accordance with Policy 1.111V Evaluation of Faculty Credentials.**
- ~~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 **in accordance with Policy 1.111V Evaluation of Faculty Credentials**.
- 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 **in accordance with Policy 1.111V Evaluation of Faculty Credentials**.
- 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

An individual serving in his/her initial academic appointment in the pedagogical track would be appointed at this rank.

- 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: (Traditional, Pedagogical, Clinical, and Research Tracks ~~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.

**See II.A.3 Reassignment of Faculty for promotion standards for reassigned faculty.**

~~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:

[...]

- b. Research/Creative Activity (research/creative activities are not an expectation for Pedagogical **or Clinical** faculty): Evidence in these areas may include, but is not limited to, the following:

[...]

**III.D.4 Levels of Performance:** Pedagogical **and clinical** 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).~~ **See II.A.1, 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,~~ **For example**, 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 1.199~~ For example, 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.F. Procedures for Recommending Promotion: Clinical Faculty

A clinical-track faculty member who seeks promotion to a higher clinical rank may do so at any time, but ~~typically~~ at least five years is expected in rank prior to promotion. However, more rapid promotion may be expected for a highly productive faculty member.

A promotion file will be prepared that includes at least a *curriculum vitae* (including current and pending funding levels), annual reports while in the present rank, and reference letters from at least three persons outside the university. The promotion procedures and timeline will follow those for tenure-eligible faculty members, except that the promotion review committee will be comprised of all tenure-track and clinical-track faculty in the department at or above the rank being sought in the promotion.

### III.G. Procedures for Recommending Promotion: Research Faculty

A research-track faculty member who seeks promotion to a higher rank may do so at any time, but ~~typically~~ at least five years is expected in rank prior to promotion. However, more rapid promotion may be expected for a highly productive faculty member.

A promotion file will be prepared that includes at least a *curriculum vitae* (including current and pending funding levels), annual reports while in the present rank, and reference letters from at least three persons outside the university.

External reviewers will be chosen by the department head/chair/director in consultation with supervisor(s) of the faculty member. The department head/chair/director will solicit and receive letters of which the content will not be made available to the candidate for promotion. A review committee comprising all tenure-eligible and research-track faculty in the department at or above the rank being sought in the promotion.

The vote of the review committee shall be forwarded by the department head/chair/director, along with a letter of recommendation from the department head/chair/director, to the dean. The dean shall make a recommendation to the Provost. The Provost will make a recommendation to the President, who will in turn forward positive recommendations to the Board of Regents for final approval.

### **III. H F. Promotion Recommendation Deadlines: (~~Tenure-Eligible~~ Traditional, Pedagogical, Clinical, and Research Ranks Only)**

**III. H 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. H F.2. Department Recommendation:** Departments heads/chairs/directors 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/chair/director. If the department head/chair/director concurs with the negative committee recommendation, the faculty member may withdraw the application or allow the application to proceed to the college level.

**III. H 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. H 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.

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/May 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 complaint shall be in writing and be filed within thirty (30) days after receipt of official notice from the President.

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.

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

[...]

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

[...]

**IV.B.2. Notice to New Tenure-Eligible Faculty:** New tenure-eligible 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.

**Committee membership shall be determined using the guidelines set forth in section III.E.2. and shall be comprised of tenured faculty only.**

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.

[...]

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. **Failure to earn early tenure will not result in appointment termination and will not be considered with prejudice at the time of the mandatory tenure review at the end of the probationary period.** 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.

[...]

- vi. 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.
  - i. 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:**

[...]

## 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.

- d. Instructor (continuing) contracts will be automatically extended each year, based on good performance, availability of funding, and need. Such appointments may be continued indefinitely but will not lead to tenure-eligible status. If a regular full-time Instructor contract is not to be renewed, the individual holding that appointment will be given advance notice by the university (March 1 during the first year of appointment and December 15 during subsequent appointment years) that the appointment will expire at the end of the current fiscal year.
- e. Non-renewal of a clinical, research, or instructor track appointment will not trigger the non-continuance portion of Section V Faculty Complaint Regarding Continuance, Tenure, and Promotion, but may be addressed through the Faculty Grievance process outlined in Section VIII.
- f. Research track faculty appointment may not continue if funding cannot be identified to maintain effort at or above 50%. However, the faculty member may continue to use the title and institutional affiliation for the purposes of apply for further funding if agreed upon at the time of appointment termination.
  - i. In the event that a research-track faculty member is not the PI/PD of a funded extramural grant or contract, decision to terminate or not to reappoint may be taken by the dean.
  - ii. In the event that a research-track faculty member is currently the PI/PD of a funded extramural grant or contract, a recommendation to terminate or not to reappoint may be made by the dean, but the final decision to terminate or not to reappoint may be taken by the Provost working together with the Associate Provost for Research and Graduate Education.
  - iii. In the event that the Provost working together with the Associate Provost for Research and Graduate Education cannot reach consensus as to the disposition of such a recommendation, the decision of the President shall be final.

## VII.A.2. Faculty With Tenure:

[...]