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## Faculty Handbook, 2005

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## HANDBOOK FOR FACULTY

The purpose of this handbook is to provide members of the faculty of Wichita State University with an introduction to the history, structure, policies, and procedures of the University and the benefits and responsibilities of its faculty.

The contents of this handbook will be continually reviewed by the Faculty Senate Executive Committee and the University administration and will be updated from time to time. The copies maintained in the Office of the Vice President for Academic Affairs and Research and the Office of the Faculty Senate will be kept current with all changes and additions and will constitute the official copy of this handbook.

Questions of policies and procedures concerning topics not covered in this handbook should be referred to the Vice President for Academic Affairs and Research.

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*Revisions accepted by the General Faculty 5-10-05*

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### 2.1 / Appointment and Reappointment Policies

#### 2.11 / Appointment Notice

*WSU Policies & Procedures – [http://webs.wichita.edu/inaudit/ch4\\_01.htm](http://webs.wichita.edu/inaudit/ch4_01.htm)*

Faculty appointments are formalized by an appointment form or notice that states the term of employment, salary, faculty rank, and appointment status. Appointment notices for the next academic year are issued by the President's Office as soon after the legislative session as possible.

#### 2.111 / Term of Appointment

*WSU Policies & Procedures – [http://webs.wichita.edu/inaudit/ch4\\_02.htm](http://webs.wichita.edu/inaudit/ch4_02.htm)*

#### 2.112 / Academic Year Appointments

The following guideline on academic year appointments was adopted by the Council of Presidents on February 16, 1978:

Academic year appointments are for a period of approximately nine months beginning just prior to fall registration and extending through spring Commencement. Faculty duties include teaching/librarianship, advising and counseling, research, scholarly, and creative activities, other university duties, and community and public service. Periods when classes are not in session are normally devoted to the above-listed non-teaching functions or to other specially scheduled activities.

#### 2.113 / Annual Appointments

Some faculty and most administrative personnel receive annual appointments, including vacation and holidays.

#### 2.114 / Summer Session Appointments

Some members of the faculty are appointed to teach in the Summer Session. Assignment to Summer Session teaching is a matter of college/school/University Libraries and departmental policy and decision, subject to guidelines established by the director of the Summer Session.

### **2.115 / Emeritus Appointment**

*WSU Policies & Procedures – [http://webs.wichita.edu/inaudit/ch4\\_25.htm](http://webs.wichita.edu/inaudit/ch4_25.htm)*

Emeritus status recognizes meritorious service to the university and may be conferred upon a retiring individual who has served The Wichita State University for a minimum of ten continuous years. To be considered in the determination of meritorious service are the person's contributions in the areas of teaching/librarianship, scholarly activity, service or leadership.

Recommendations for the award of emeritus status must be made by the department, with the concurrence of the appropriate Dean, and forwarded to the University President.

Exceptions to the above criteria may be granted by the University President. (3-89)

### **2.2 / Employment Oath**

*WSU Policies & Procedures – [http://webs.wichita.edu/inaudit/ch3\\_22.htm](http://webs.wichita.edu/inaudit/ch3_22.htm)*

Kansas law requires that all state employees sign the following Employment Oath:

*I do solemnly swear (or affirm) that I will support the Constitution of the United States and the Constitution of the State of Kansas, and faithfully discharge the duties of my office or employment. So help me God. (The final sentence may be deleted.)*

The oath is included in papers that must be signed at the time of employment. It must be on file before any checks in payment of salary or wages may be issued by the state treasurer.

### **2.3 / Faculty Ranks and Titles**

*WSU Policies & Procedures – [http://webs.wichita.edu/inaudit/ch4\\_03.htm](http://webs.wichita.edu/inaudit/ch4_03.htm)*

The principal titles and ranks granted by the University to faculty are those normally bestowed by institutions of higher education: professor, associate professor, assistant professor, and instructor. Full-time faculty holding less than the minimum credentials for instructor rank are occasionally appointed as assistant instructors. Titles used to designate part-time instructional personnel include lecturer and adjunct/faculty associate. The term *visiting* is used in conjunction with the basic academic titles for individuals who join the faculty for a short period of time, usually with the intent of returning to a position at another academic institution.

The University has various special professorships that it bestows upon faculty in recognition of distinguished scholarly achievement and distinguished contribution to the University. The special professorships include Regents distinguished professorships, established by the Kansas Board of Regents; Trustees distinguished professorships, funded by the Board of Trustees; University professorships, funded by the University; distinguished professorships, endowed by donors or the Endowment Association; and professorships emeriti, awarded to outstanding retired faculty.

### **2.31 / Types of Appointments**

*WSU Policies & Procedures – [http://webs.wichita.edu/inaudit/ch4\\_04.htm](http://webs.wichita.edu/inaudit/ch4_04.htm)*

Faculty appointments are of three basic types: temporary, probationary, and with tenure. Temporary appointments are for a specified period only and carry no expectation of reappointment. Adjunct/faculty associates and lecturers have temporary appointments for one semester, subject to renewal on the basis of need for instruction. Probationary appointments are those appointments that may, on the basis of continuing satisfactory performance, lead to review for the award of tenure. However, probationary

appointments carry no expectation or promise that review for the award of tenure will be undertaken or that tenure will be awarded. Probationary appointments are reviewed on an annual basis, and may or may not be renewed. Probationary appointments will not be continued for more than seven years. Tenured appointments will be annually renewed unless the faculty member is dismissed through proper actions and procedures.

### **2.32 / Special Conditions of Appointment**

*WSU Policies & Procedures – [http://webs.wichita.edu/inaudit/ch4\\_05.htm](http://webs.wichita.edu/inaudit/ch4_05.htm)*

Any special conditions of appointment will be included in the appointment form signed by the employee. Special conditions of appointment include but are not limited to the date by which a terminal degree and/or field registry is expected and the consequences of non-attainment; or special conditions for nomination for tenure review consideration (such as an additional degree or field registry). It is the responsibility of the employee to inform the department and dean of accomplishment of the conditions of appointment.

### **2.34 / Joint Faculty Appointment**

*WSU Policies & Procedures – [http://webs.wichita.edu/inaudit/ch4\\_06.htm](http://webs.wichita.edu/inaudit/ch4_06.htm)*

A primary academic objective of Wichita State University is the search for and development of new knowledge which will enhance institutional programs and contribute to the University's research responsibilities. Recognizing the contribution of interdisciplinary studies in meeting the objective, the University may offer joint appointments for faculty where appropriate.

The joint appointment may provide greater program flexibility, the enhancement of intellectual stimulation, and broader insights into matters under faculty investigation and research.

**Definition:** Joint appointments as used herein shall mean either term or continuous appointments to at least one regular academic position in more than one academic department, research unit, or other administrative unit. Such appointments may be approved by the Vice President for Academic Affairs and Research, provided they do not total more than 1.0 full-time equivalent (ft) and are recommended by all college/school/University Libraries, departments, and units involved.

**Determination of Primary Department:** Any joint appointment shall have one position assigned as the primary position and the department or unit (such as administrative and research units) within which that position is situated shall be deemed to be the primary department or unit as herein defined.

1. Each current joint appointment or joint title shall be assigned a primary position by the administrative officer having direct authority over all departments or units involved in the joint appointment or joint title. This administrative officer shall initially receive the recommendations of the administrative heads of the departments or units involved and shall recommend such an assignment for the holder of the joint appointment or title to the Vice President for Academic Affairs and Research.
2. Any new joint appointment or joint title shall be assigned a primary position at the time of such appointment by the appointing authority after this authority receives the recommendations of the administrative heads of the departments or units involved, who shall recommend the appointment creating such joint appointment or joint title.

**Primary Department or Unit's Role:** After receiving the recommendation of the other units involved, the primary department or unit shall be responsible for decisions or recommendations regarding salary,

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tenure, promotion, leaves, and other perquisites and shall be responsible for securing agreement among the departments or units involved on the sharing of salary and support funds.

**Implementation:** Before a faculty member first receives a joint appointment, the faculty member and the appropriate academic units must mutually determine, record in writing, and secure administrative approval for all conditions of the appointment. The offer of appointment should include the following:

1. probationary period (if applicable);
2. unit expectations for tenure and promotion;
3. procedures for recommending salary increases and performance reviews;
4. procedures for reappointment or non-reappointment decisions;
5. procedures that apply in cases of financial exigency or the dissolution of one of the academic units, or if the joint appointment is dissolved. Unless otherwise specified, the faculty member will return to the primary department.

A copy of the offer of appointment will be given to the appointee and will be placed in his/her personnel file in the Office of Academic Affairs. Should any unresolved disagreements arise among the participating units and/or faculty member, the joint appointment shall be dissolved in accordance with the provisions of the written agreements.

### **2.35 / Notice of Non-Reappointment**

*WSU Policies & Procedures – [http://webs.wichita.edu/inaudit/ch4\\_07.htm](http://webs.wichita.edu/inaudit/ch4_07.htm)*

The Kansas Board of Regents has adopted the following policy regarding timely notice of non-reappointment for faculty members holding probationary appointments.

Notice of non-reappointment should be given in writing in accordance with the following standards; however, such standards shall not be applicable to any administrative assignments:

1. Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or if a one-year appointment terminates during an academic year, at least 3 months in advance of its termination.
2. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least 6 months in advance of its termination.
3. At least 12 months before the expiration of an appointment after two or more years in the institution.

These statements shall apply even during periods of declared financial exigency, unless impossible, in which case notice shall be provided as early as possible.

### **2.4 / Recruitment Policy**

*WSU Policies & Procedures – [http://webs.wichita.edu/inaudit/ch4\\_08.htm](http://webs.wichita.edu/inaudit/ch4_08.htm)*

The university has established procedures and policies concerning the recruitment of new faculty. These procedures and policies can be obtained from the Equal Employment Officer. All units of the university are responsible for following those procedures and policies. The academic rank conferred at the time of initial appointment should be consistent with the appropriate college/school/University Libraries guidelines for promotion to that rank.

Negotiations looking to the possible appointment for the following fall of persons who are already faculty members of other institutions, in active service or on leave of absence and not on terminal appointment, should be begun and completed as early as possible in the academic year. It is desirable that, when feasible, the faculty member who has been approached with regard to another position inform the appropriate officers of his institution when such negotiations are in progress. The conclusion of a binding agreement for the faculty member to accept an appointment elsewhere should always be followed by prompt notice to his institution.

**2.5 / Policy Concerning Employment of Relatives**

*WSU Policies & Procedures – [http://webs.wichita.edu/inaudit/ch3\\_16.htm](http://webs.wichita.edu/inaudit/ch3_16.htm)*

Persons may be appointed to classified or unclassified positions without regard to family relationship to other members of faculty or staff. If a person is in a position that requires an evaluation on a personnel decision such as those concerning appointment, retention, promotion, tenure, or salary of a close relative, such condition shall be deemed a conflict of interest, and that person shall not participate in such a decision, and that person shall not participate in any group or body that is considering any such decision.

Negotiations looking to the possible appointment for the following fall of persons who are already faculty members of other institutions, in active service or on leave of absence and not on terminal appointment, should be begun and completed as early as possible in the academic year. It is desirable that, when feasible, the faculty member who has been approached with regard to another position inform the appropriate officers of his institution when such negotiations are in progress. The conclusion of a binding agreement for the faculty member to accept an appointment elsewhere should always be followed by prompt notice to his institution.

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CHAPTER 3 / UNIVERSITY TENURE, PROMOTION, and RETIREMENT POLICIES

*Revisions accepted by the General Faculty 5-10-05*

- 3.1 / Interpretative Statements on Tenure at Wichita State University
- 3.11 / Terminations
- 3.12 / Nontenable Positions
- 3.2 / Regents Tenure Policy
- 3.21 / Probationary Period
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- 3.3 / Annual Evaluation of Nontenured Faculty
- 3.4 / Early Consideration for Tenure
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- 3.87 / Cover Sheet for Tenure or Promotion Dossiers
- 3.9 / Voluntary Full Professor Incentive Review Policy
- 3.91 / Implementation
- 3.92 / Full Professor Incentive Review Cover Sheets

- 3.1 / Interpretative Statements on Tenure at Wichita State University

**TENURE AND PROMOTION POLICIES** [*changes in bold with date accepted by Faculty Senate-Forwarded to the President for acceptance*]  
*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch4\\_10.htm](http://webs.wichita.edu/inaudit/ch4_10.htm)*

Acting under the provisions of the Kansas Board of Regents' Tenure policy and promotions in Academic Rank Policy, the university may award tenure or promotion to faculty members based on demonstrated excellence in scholarship, teaching/librarianship, and community and professional service. The granting of tenure or promotion is at the initiative of the university and is based on sustained achievements demonstrating that the faculty member meets the qualitative standards of the appropriate discipline and the requirements of the university. Tenure or promotion is not acquired simply by meeting assigned duties with a record free of deficiencies.

Tenure or promotion is conferred on the basis of: a) the qualifications of the individual, b) the objectives and needs of the university's academic programs, and c) the resources of the university as these are determined by faculty committees and administrator's reviews at departmental, college/school/University Libraries, and university levels.

**3.11 / Terminations**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch4\\_11.htm](http://webs.wichita.edu/inaudit/ch4_11.htm)*

In cases of termination of tenured faculty not involving termination for cause, the university has the obligation to make every effort to find a suitable position within the institution for the affected faculty member. The suitability of any proposed position shall be by mutual agreement of the faculty member and the receiving department or equivalent unit. Faculty relocated within the university will not automatically, by virtue of their tenure, displace tenured, probationary or temporary faculty within the receiving department or equivalent unit.

**3.12 / Non-Tenable Positions**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch4\\_12.htm](http://webs.wichita.edu/inaudit/ch4_12.htm)*

Positions at Wichita State University that are not eligible for tenure are those which are part-time, carry the rank of assistant instructor, have less than a 50 percent responsibility for teaching, librarianship, research, scholarship, and/or creative activities, or are designated as temporary.

**3.2 / Regents' Tenure Policy**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch4\\_13.htm](http://webs.wichita.edu/inaudit/ch4_13.htm)*

The Kansas Board of Regents has adopted the following amended policy concerning tenure and academic freedom of faculty at regents' institutions, as contained in the Kansas Board of Regents' Policy and Procedures Manual. Regents' tenure policy is substantially based on the 1940 Statement on Academic Freedom and Tenure of the American Association of University Professors, which is extensively quoted in section a and b.

*a. After the expiration of a probationary period, teachers or instructors should have permanent or continuous tenure, and their services should be terminated only for adequate cause, except in the case of retirement for age, program or unit discontinuance, or under extraordinary circumstances because of financial exigency.*

*b. In the interpretation of the principles contained in Section a of this policy, the following is applicable:*

1. *The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.*

2. *Beginning with appointment to the rank of full-time instructor or a higher rank, the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution it may be agreed in writing that his new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years; except when the interests of both parties may best be served by mutual agreement at the time of initial employment, institutions may agree to allow for more than four years of probationary service at the employing institution provided the probationary period at that institution does not exceed seven years. Notices should be given at least one year prior to the expiration of the probationary period if the teacher is not to be continued in service after the expiration of that period. Under unexpected special and extenuating circumstances, prior to the sixth year of service, and at the request of the faculty member and the appropriate dean, the Chief Academic Officer of the university may grant an extension of the tenure clock for a maximum of one year. (9-18-97)*

3. *During the probationary period a teacher should have the academic freedom that all other members of the faculty have.*

4. *Termination for cause of a continuous appointment, or the dismissal for cause of a teacher previous to the expiration of a term appointment, shall, if possible, be considered by a faculty committee which will make recommendations to the administration. In all cases where the facts are in dispute, the accused teacher must be informed before the hearing in writing of the charges against him and shall have the opportunity to be heard in his own defense by all bodies that pass judgment upon his case. He may have with him an adviser of his own choosing who may act as counsel. There shall be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence, the testimony should include that of teacher and other scholars, either from his own or from other institutions. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude receive their salaries for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution.*

5. *Termination of a continuous appointment because of financial exigency should be demonstrably bona fide.*

c. *Within this general policy, each school may make such operating regulations as it deems necessary, subject to the approval of the board of regents.*

d. *Lists of individuals approved by the chief executive officer at a regents' institution for tenure shall be submitted by the chief executive officer of that institution to the board for its*

## CHAPTER 3 / FACULTY APPOINTMENT, TENURE, PROMOTION, and

*information at its April meeting. Any tenure approved by the institution by the institution shall be limited to tenure for the recommended individual at the institution consistent with the tenure policies of that institution.*

*e. The names of individual who have been hired with a continuous appointment upon employment shall be submitted by the institution to the Board for its information.*

*f. Decisions of the chief executive officer shall be final and are not subject to further administrative review by any officer or committee of the institution or by the Board of Regents. (4-18-47; 2-15-80; 5-15-81; 4-16-82; 1-20-84; 2-16-89)*

### 3.21/ Probationary Period

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch4\\_14.htm](http://webs.wichita.edu/inaudit/ch4_14.htm)*

### 3.22 / Time Limit

The regents' tenure policy defines the time limit for the probationary period in 3.12.b,2, above.

The following university regulations apply to the probationary period as defined in Kansas Board of Regents policy:

1. At the time of initial **[probationary(11-29-99)Forwarded to the President for acceptance]** appointment, agreement between the appointee and the institution must be reached on the prior service, if any, to be applied against the probationary period. This agreement shall be contained in the initial letter offering the position and in the initial contract **[appointment notice (9-27-99)Forwarded to the President for acceptance]**.
2. When a probationary period is interrupted by a leave of absence other than a scholarly leave, such leave will not be counted toward eligibility for tenure. A scholarly leave will count toward tenure unless the faculty member and the university agree in writing to the contrary at the time the leave is granted. If a faculty member takes a part-time administrative or other non-academic appointment during the probationary period, that time is counted toward eligibility for tenure if he/she maintains at least a half-time academic appointment and is not counted if their academic appointment is less than half-time.
3. If a faculty member terminates and subsequently returns to the university, rules for tenure consideration will apply as they do for previous service at other institutions of higher education.

### 3.3 / Annual Evaluation of Non-tenured Faculty

All faculty members holding half-time or more appointments who have not attained tenure will be evaluated at least once a year. Faculty members will have the opportunity to present documentation of performance for the purpose of this evaluation. The evaluation will be recorded on official university forms provided by the office of the Vice President for Academic Affairs and Research by department chairs. In addition to reviewing the faculty member's performance during the preceding year, these annual reviews will also contain a section on "progress toward tenure" in which the faculty member's overall performance at WSU will be evaluated in the context of the tenure review which will occur at the end of the probationary period. All annual reviews should be submitted; however, these annual reviews do not constitute a definitive review for tenure. The chair will review with the faculty member the

results of the evaluation and transmit them to the dean. Copies will be retained by the faculty member, the department, the college/school/University Libraries dean's office, and the office of the Vice President for Academic Affairs and Research.

In order to ensure as consistent a review process as possible prior to tenure decision, the annual review of probationary members of a department is to be conducted exclusively by the tenured members of the department or the elected tenure committee of the department. The chair of the department will be present. Abstentions will not be registered except when a faculty member declares he/she has a conflict of interest concerning a case. The chair of the committee of tenured members records the evaluation and the vote of the group. The department chair shall provide a separate evaluation and recommendation. The vote count, evaluations, and recommendation will be shared with the person being reviewed, who shall be afforded the opportunity to submit a written rebuttal to the evaluations. In departments in which two or fewer members are tenured, an ad hoc review committee, consisting of tenured faculty members who might be involved in the ultimate tenure decision, shall be appointed by the dean of the appropriate college/school/University Libraries. Untenured chairs shall not participate in their own reviews.

The annual evaluation is an important activity for which faculty members should be well prepared. It is a cumulative record of performance that in the case of probationary faculty shows progress toward consideration for continuous tenure.

### **3.4/ Early Consideration for Tenure**

Within the usual probationary period, a faculty member who demonstrates exceptional merit may be afforded one opportunity to stand for tenure prior to mandatory review. In such cases, the faculty member, in consultation with the chair, shall determine the advisability of early nomination according to the following criteria of eligibility:

1. The faculty member shall hold the rank of assistant professor or above.
2. The faculty member without prior higher education service shall have completed two years of full-time service at Wichita State University before early review may be undertaken at the departmental level.

Should the faculty member decide to stand for early tenure review, the following conditions shall apply:

1. The tenure review shall be conducted under the standard deadlines, policies, and procedures governing tenure considerations at that time.
2. A faculty member who is unsuccessful in the early application for tenure shall have the right to continue on probationary status and stand for mandatory tenure review without prejudice.

### **3.5/ Initial Appointment with Tenure**

In exceptional circumstances an individual may be awarded tenure at the time of initial appointment. Individuals being considered for appointment to an administrative position can be granted tenure at the time of appointment only on the basis of their scholarly and academic credentials. Review for the award of tenure with initial appointment shall be initiated by the tenured faculty of the relevant academic department in accord with college/school/University Libraries and university guidelines in force at the time.

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Department faculty recommendations for award of tenure with initial appointment shall be forwarded for action through the chair to the dean and the Vice President for Academic Affairs and Research. In such cases where additional consultation is deemed desirable, the dean or Vice President for Academic Affairs and Research may convene the college/school/University Libraries or university-level committees to effect an ad hoc tenure review.

The Vice President for Academic Affairs and Research shall convey the recommendations to the president who shall review the recommendations and make the final decision. The President shall notify the individual in writing of the award of tenure.

### **3.6 / Guidelines and Criteria for Tenure and Promotion**

*WSU Policies and Procedures -- [http://webs.wichita.edu/inaudit/ch4\\_15.htm](http://webs.wichita.edu/inaudit/ch4_15.htm)*

Guidelines and criteria related to tenure and promotion are developed by all the constituencies involved in the review process, including the president, the university tenure and promotion committee, the college/school/University Libraries, and in some instances the departments. The subsections that follow identify the guidelines and criteria that are operative at the university level. Reference is also made to college/school/University Libraries guidelines and criteria.

#### **3.61 / General Policies for the Awarding of Tenure**

The judgments of all faculty committees in tenure decisions are to be based on the academic credentials, qualifications, and merits of the candidate. These judgments will always be made primarily at the departmental and college/school/University Libraries levels. Ranking of candidates for tenure is neither necessary nor appropriate.

#### **3.62 / College/School/University Libraries Guidelines and Criteria**

Detailed guidelines and statements of criteria for tenure and promotion have been adopted by all the college/school/university libraries and in some instances at the departmental level. Each statement should include explicit statements of expectation for teaching, librarianship, research, scholarship, or creative activities, and academic and professional service. These statements should define the relative significance of different activities within each area and the nature of documentation which candidates must provide to establish their accomplishments in each area.

The statements may specify guidelines for faculty with unusual appointments, consistent with the university guidelines for tenure or promotion contained in section 3.143 below. It is acceptable to establish differential criteria for tenure or promotion for faculty with different assignments, so long as the differential criteria and the nature of the faculty assignments are clearly identified.

The college/school/University Libraries guidelines and statements of criteria shall be submitted in the spring for review by the university tenure and promotion committee on a three-year cycle. The purpose of this review is to ensure that the guidelines and statements are consistent with university guidelines and provide an adequate degree of clarity and specificity so that candidates for tenure and promotion will understand the criteria which will be utilized to evaluate their cases.

*[The Dean of each college/school/University Libraries will forward a copy of their College/School/University Libraries Guidelines and Criteria for Tenure and Promotion to the Chair of the University Tenure and Promotion Committee by February 1 as follows: (9-27-99)Forwarded to the President for acceptance!]*

2007, 2010, 2013, 2016, etc. College of Education, College of Fine Arts, University Libraries  
2008, 2011, 2014, 2017, etc. College of Health Professions, Fairmount College of Liberal Arts & Sciences  
2009, 2012, 2015, 2018, etc. W. Frank Barton School of Business, College of Engineering

The college/school/University Libraries guidelines and statements of criteria developed for tenure and promotion shall be distributed annually to all untenured faculty at the time of their annual evaluation. The evaluation of individual candidates at the university level should take into account the degree to which the individual has met the guidelines as well as his/her role statement and annual performance criteria identified in the annual evaluation of untenured faculty. **[Consideration, in context of the candidate's entire career, will be given to teaching, librarianship, research, scholarship, creative activities, and service conducted while the candidate has been employed at Wichita State University. (11-29-99)Forwarded to the President for acceptance]** If the guidelines in effect at the time of initial probationary appointment differ from those in place at the time a tenure case comes forward for consideration, the current guidelines can be used in place of the earlier guidelines only if both the candidate and the department agree.

**[In cases where Department and/or College/School/University Libraries policy contradicts University policy, the appropriate department administrator, the Dean of the College/School/University Libraries, the College/School/University Libraries Tenure & Promotion Committee and the Vice President for Academic Affairs & Research will be notified by the University Tenure & Promotion Committee that the contradiction needs to be corrected, and that University policy will take precedence until the correction is in place. (11-29-99)Forwarded to the President for acceptance]**

### 3.7 / University Guidelines and Criteria

#### 3.71/Promotion

1. A terminal degree in a field appropriate to the discipline in which the candidate teaches or conducts research, scholarship, or creative activities is normally required for appointment or promotion to the rank of assistant professor, associate professor or professor. Exceptions to this guideline will require careful documentation based upon an adequate rationale.
2. Under normal circumstances, a faculty member should not expect to be considered for promotion with less than six years in rank.
3. The standards for teaching, librarianship, scholarship, and service for each rank are indicated below. The relative significance of teaching; librarianship; research, scholarship, or creative activities; and service may vary from case to case. **[Consideration, in the context of the candidate's entire career, will be given to teaching, librarianship, research, scholarship, creative activities, and service conducted while the candidates has been employed at Wichita State University. (11-29-99)Forwarded to the President for acceptance]**

**Assistant Professor:** Evidence is normally expected of the following: (1) demonstrated adequacy in teaching/librarianship; (2) potential for achievement in research, scholarship, or creative activity; and (3) some university service appropriate to the mission of the department and college/school/University Libraries.

**Associate Professor:** Evidence is normally expected of the following: (1) documented effectiveness of teaching/librarianship; (2) a record of research, scholarship, or creative activities which has earned

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recognition in professional circles at the regional or national level; and (3) some professional or university service.

**Professor:** Evidence is normally expected of the following: (1) sustained effectiveness in teaching/librarianship; (2) a record of substantial accomplishment in research, scholarship, or creative activities which has led to recognition in professional circles at the national level; and (3) demonstrated academic leadership in the form of service to the university and the profession.

### 3.72/Tenure

All full-time faculty with 50 percent or more responsibility for teaching, librarianship, research, scholarship, and/or creative activities with the rank of instructor or higher must undergo review for tenure during their sixth year of employment at Wichita State University unless their employment at the university is to be terminated at the end of their seventh year of service. Those individuals given credit for prior experience in higher education at the time of initial appoint shall undergo review for tenure according to the policies stated.

Expectations of performance in and the relative importance of teaching; librarianship; research, scholarship, or creative activities; and service will be defined at the time of the initial appointment. Specific performance goals will be established each year during the annual evaluation of untenured faculty. These expectations and goals form the foundation for evaluation for tenure in the context of the tenure criteria established by the faculty of the college/school/University Libraries but do not constitute a definitive review for tenure. The terminal degree is preferred for the granting of tenure except in exceptional and well documented cases. The award of tenure normally requires documented evidence of effective teaching/librarianship and a record of research, scholarship, or creative activities which has earned recognition in professional circles at the regional or national level.

### 3.73/University Committee Procedures

In the process of reviewing tenure and promotion cases according to its charge, the University Tenure and Promotion Committee applies the respective college/school/University Libraries guidelines as approved by the college/school/University Libraries and university tenure and promotion committees. It is important to emphasize that these guidelines are not rigid rules.

### 3.74 / Tenure and Promotion Review Process

The tenure and promotion review process is governed by the "Tenure, Promotion, and Appeals Procedures" document, which was adopted by the university faculty, May 1994. The text of this policy follows:

*"Individual units may adopt by vote of the faculty of the college/school/University Libraries additional procedures, policies, and interpretive statements to govern their internal review of tenure and promotion cases, so long as those procedures, policies, and interpretive statements are consistent with all higher level procedures, policies, and interpretive statements, as determined in the triennial review of policies and procedures conducted by the university committee. These additional statements should be provided in writing to all candidates for tenure and promotion and to all probationary faculty at the time of their initial appointment and at each annual review."*

### 3.75 / Presidential Review of Nominees for Tenure or Promotion

The laws of the State of Kansas provide that, subject to the board of regents, the president shall appoint

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employees and administer the affairs of Wichita State University. In matters of tenure and promotion, the president has delegated the authority to make recommendations to certain faculty committees and administrators. However, the president retains the authority to make the final decision on the tenure and promotion of faculty members.

A person dissatisfied with committee or administrator recommendations concerning his/her tenure or promotion may, after exhausting the procedures and appeals in the tenure and promotion review process, petition the President of Wichita State University for a favorable decision on tenure or promotion.

### **3.76 / Policy of Nondiscrimination and Affirmative Action**

Wichita State University does not practice nor condone discrimination with regard to the use of factors made unlawful or prohibited by law (i.e. race, gender, disability, etc.) in tenure and promotion practices.

**3.8 / Tenure and Promotion and Professor Incentive Review (PIR) Calendar** (9/27/01 rev) (accepted by President Beggs, 10/4/01) --- This calendar will be effective March 2005 -- PIR added 4-1-06  
*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch4\\_16.htm](http://webs.wichita.edu/inaudit/ch4_16.htm)*

#### **March**

2<sup>nd</sup> Friday     Deadline for Director of the Office of Institutional Research to notify deans of faculty scheduled for mandatory tenure review with copies of institutional planning and analysis

#### **April**

1<sup>st</sup> Friday     Deadline for deans to notify faculty scheduled for mandatory tenure review with copies to Vice President for Academic Affairs and Research

3<sup>rd</sup> Friday     Deadline for faculty applying for promotion, PIR, and/or early tenure review to notify chair

3<sup>rd</sup> Friday     Deadline for candidates requesting external review to notify chair and dean

#### **May**

1<sup>st</sup> Friday     Deadline for chair to notify dean of faculty applying for tenure and/or promotion, or PIR

3<sup>rd</sup> Friday     Deadline for sending initial request for external reviews, if any are to be solicited

3<sup>rd</sup> Friday     Deadline for deans to notify Vice President of Academic Affairs and Research of faculty scheduled for early tenure review and/or promotion, and PIR

#### **June**

1<sup>st</sup> Friday     Deadline for course data to be delivered to applicants for tenure and/or promotion by Shocker One Stop

#### **September**

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- 2<sup>nd</sup> Friday      Deadline for completion of basic documents and secondary dossiers
- 2<sup>nd</sup> Friday      Deadline for chair to notify eligible faculty tenure and/or promotion files are available for review
- October**
- 1<sup>st</sup>. Friday      Deadline for departmental reviews and votes on tenure and/or promotion, and PIR
- 2<sup>nd</sup> Friday      Deadline for department to notify dean of recommendations, and within two (2) working days after the department's notification, the dean will notify nominees of the department's recommendation, the chair's independent recommendation, and the candidate's right to appeal a negative decision
- 3<sup>rd</sup> Friday      Deadline for candidates to sign departmental cover sheet in dean's office indicating they have reviewed all documents being forwarded by the department
- 4<sup>th</sup> Friday      Deadline for submission of appeals of or rebuttals to department-level recommendations to the dean
- 4<sup>th</sup> Friday      Deadline for inclusion of letters from external reviewers
- November**
- 3<sup>rd</sup> Friday      Deadline for college/school/University Libraries committees to transmit recommendations to dean
- December**
- 1<sup>st</sup> Friday      Deadline for deans to notify candidates and department chairs of committee's and dean's independent recommendations and the candidate's right to appeal a negative decision or to rebut an evaluation statement
- 2<sup>nd</sup> Friday      Deadline for candidates to sign college/school/University Libraries cover sheet in the dean's office indicating that they have reviewed all documents being forwarded by the college/school/University Libraries and within two (2) working days after the signing, the dean will transmit materials to the Vice President for Academic Affairs and Research
- 3<sup>rd</sup> Friday      Deadline for Vice President for Academic Affairs and Research to transmit materials to the University Tenure and Promotion committee
- 3<sup>rd</sup> Friday      Deadline for appeal of or rebuttal to college/school/University Libraries level recommendations to Vice President for Academic Affairs and Research
- 3<sup>rd</sup> Friday      Deadline for adding materials to the secondary dossier
- January**

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4<sup>th</sup> Friday Deadline for University Tenure and Promotion committee to report recommendations to Vice President for Academic Affairs and Research and to notify candidates and department chairs of the committee's recommendations and the candidate's right to rebut the committee's evaluation

### **February**

1<sup>st</sup> Friday Deadline for submission of rebuttal statements by candidates to the Vice President for Academic Affairs and Research of the university committee's evaluation

3<sup>rd</sup> Friday Deadline for notification of candidates of recommendations to be made by the Vice President for Academic Affairs and Research to the President

4<sup>th</sup> Friday Deadline for University Tenure and Promotion committee to identify problems in tenure policies and tenure and promotion guidelines for the Faculty Affairs committee.

### **March**

1<sup>st</sup> Friday Deadline for appeals, rebuttals, and/or petitions to the President of negative recommendations

### **April**

1<sup>st</sup> Friday Final transmittal of Wichita State University decisions to the candidates

## **3.81/ Policies and Procedures for Tenure and Promotion**

### **3.811 / Outline of the Process of Review for Tenure and Promotion**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch4\\_17.htm](http://webs.wichita.edu/inaudit/ch4_17.htm)*

Any faculty member may nominate himself or herself for review for tenure or promotion.

Nominations may also be made by the chair. For faculty members with probationary appointments, review for tenure must occur during or before the year prior to the last year of the probationary period. No review for tenure will occur during the last year of a faculty member's probationary period.

The process of review for tenure and promotion involves these steps:

1. Nomination for review.
2. Departmental review of nominees by the departmental committee and by the chair.
3. In favorable or appealed cases, college/school/University Libraries review of department nominations by the college/school/University Libraries tenure and promotion committee, and by the respective deans.
4. In favorable or appealed cases, university review of college/school/University Libraries nominations by the tenure and promotion committee, and the vice president of academic affairs.

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5. In favorable or appealed cases, review of recommendations by the president of the university for final decision.

Procedures have been established for appeal in the case of an adverse tenure or promotion recommendation at the department and at the college/school/University Libraries level.

The calendar for the tenure and promotion review process is in the Wichita State University Handbook for Faculty, section 3.15.

### **3.812 / Review for Tenure or Promotion: Procedures**

#### **3.8121 / Nomination for Review for Tenure or Promotion**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch4\\_18.htm](http://webs.wichita.edu/inaudit/ch4_18.htm)*

1. The department chair will write to all full-time faculty members of the department to tell them that nominations of persons to be reviewed that year for tenure or for promotion must be given to the chair by a specified date. The chair must nominate all faculty whose tenure review is mandatory for that year. All others may be nominated by the chair or by the faculty member himself or herself.

2. The department chair will send copies of the list resulting from Step 1 to all full-time departmental faculty and specify a second date by which any additional nominations must be provided in writing to the chair.

3. The department chair will confer individually with all nominated faculty members and provide information about departmental, college/school/University Libraries, and university criteria for tenure or promotion.

4. Except for those whose review for tenure is mandatory, faculty who have been nominated must inform the department chair in writing by a date specified by the department chair (which will be no sooner than two days after their conference) of the faculty member's decision to remain in nomination or to withdraw.

5. The final, typed list of those nominated will be sent to the dean and to all members of the department electorate. Each person on the list will be notified in writing by the dean that he or she is officially a candidate for promotion or tenure. In addition, the dean will inform the candidate of the criteria for tenure or promotion and will instruct the candidate to give his/her supporting materials to the department chair by a specified date.

#### **3.8122 / Department Review for Promotion or Tenure**

The candidate will present a primary dossier and may prepare a secondary dossier. [*Only material contained in the primary and secondary dossiers and additional materials appropriately obtained and added to the dossiers may be used by the Tenure & Promotion Committee at each level. (2-28-00)*]

Primary Dossier: The primary dossier consists of the basic document, the required cover sheet which records each step of the review process, copies of the annual reviews (and rebuttals if are filed) for untenured faculty, the chair's non-evaluative role statement, statements of evaluation by the committee and administrator at each level of review and rebuttals (if any are filed), [*optional external reviews (2-28-00)*] and items added during the review process.

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The basic document will follow the standard format recommended by the university tenure and promotion committee and approved by the faculty senate. Deviations from the established format should be clearly explained. The basic document may be no more than 25 pages.

The chair will provide a statement of the role of the candidate in the department which is purely descriptive and not evaluative. If the candidate's role involves a weighted distribution of responsibility among the three categories of professional activity, that should be indicated in the role statement.

The chair will make copies of the primary dossier available for all voting faculty.

**Secondary Dossier:** A secondary dossier may be submitted to the chair by the candidate. It consists of such additional materials as the candidate wishes to submit. Examples might include, but are not limited to, copies of publications or other evidence of scholarship, copies of student evaluations or course materials, etc. The candidate may add items to the secondary dossier during the review process (*see calendar in section 3.17*). ***[Should documentation significant to your case arrive after the deadline for adding materials to the secondary dossier (the 3<sup>rd</sup> Friday in December), please notify the Dean and the Chair of your college/school/University Libraries committee who will add the material to the dossier. The chair of the committee will bring it to the attention of the next higher committee.(2-28-00)]***

As the review proceeds through the various levels, the primary dossier and the secondary dossier will be in the custody of the administrator at each level. Items may be added to the primary dossier by the administrator as called for in these procedures, but the administrator must give the candidate a copy of the additions and provide the candidate an opportunity to write a rebuttal that will also be included in the primary dossier.

The complete files of all faculty members under review in the department must be available for a reasonable time (at least five working days) to all voting faculty.

Tenure cases will be reviewed at a meeting of the tenured faculty of the department or a committee of tenured faculty chosen by these faculty members. In departments having fewer than three voting tenured faculty members, the college/school/University Libraries faculty will develop appropriate procedures for the review, subject to the approval of the dean. Each eligible person except the department chair will vote on each case under consideration and will sign the tally sheet. The tally sheet will not identify individual voters with their votes but must account for all eligible voters. If a committee wishes, straw ballots may precede the final ballot. Only the votes on the final ballot are binding and recorded. Abstentions will not be registered except when a faculty member on a committee declares he/she has a conflict of interest concerning a case. A positive recommendation by the committee results when more than 50 percent of those casting ballots other than abstention have voted to recommend tenure. A copy of the tally sheet will be kept in the departmental office for three years.

Promotion cases will be reviewed at a meeting of the departmental faculty who hold rank equal to or higher than that for which the candidate is being considered or of a committee of those with appropriate rank chosen by these faculty members. The limitation of voting to persons of equal or higher rank need not apply to votes at the college/school/University Libraries or university levels. In departments having fewer than three faculty members with appropriate rank, the college/school/University Libraries faculty will develop appropriate review procedures subject to approval of the dean. Each eligible person, excluding the department chair, will vote on each case under consideration and will sign the tally. The tally will not identify individual voters with their votes but must account for all eligible votes. Straw ballots may precede the final ballot. Abstentions may occur only in cases involving declared conflict of interest. A positive recommendation will result when more than 50 percent of those casting ballots (i.e.,

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other than abstentions) have voted to recommend promotion. Copies of the tally sheets will be kept in the departmental office for three years.

Chairs do not participate in their own evaluation or in evaluations of faculty when the chair has a conflict of interest. Such cases automatically go forward without prejudice for review at the next level.

The results of the departmental deliberations and the chair's separate recommendation will be sent to the dean by the department chair. When the committee's discussion of a candidate is complete, the committee chair will summarize in writing the committee's evaluation of the candidate. The department chair will also provide a written evaluation to accompany his/her recommendation for each case. These statements will be included in the primary dossier. The candidate will be provided an opportunity to review these statements and to file a written rebuttal in the primary dossier. In cases where the chair's recommendation differs from that of the voting faculty, the case will go forward to the next higher level without prejudice, and that transmittal will not constitute an appeal. The chair will also send forward the copies of the primary dossier and the secondary dossier.

The dean will inform each candidate in writing of the department's recommendations, the chair's recommendation, the right to appeal, and the procedures for appeal. The dean will also notify the candidate that he/she may request meetings with the department chair and/or the chair of the departmental tenure and promotion committee, at the candidate's option, to discuss the decision.

### **3.8123 / College/School/University Libraries Review of Nominees for Tenure or Promotion**

The dean will give a copy of the primary dossier of each faculty member favorably recommended for promotion and/or tenure and of all appealed cases to each member of the college/school/University Libraries committee and will indicate the location of the secondary dossiers. These materials must be available to the committee for at least five working days prior to deliberation.

The committee will meet with the dean to receive information about the schedule of meetings and about administrative matters related to the cases to be reviewed. The dean may also request other meetings with the committee. Each college/school/University Libraries shall adopt procedures regarding the role of the dean in these other meetings. If the committee discovers that information is lacking in a dossier, it can ask the dean to acquire the information. Consistent with the department procedures, the dean must provide the candidate a copy of the material and allow the candidate to write a rebuttal. The college/school/University Libraries committee may, at its option, adopt a policy which prohibits a committee member from the same department as a candidate for tenure and/or promotion from speaking or voting on the case during the committee's deliberations. If such a rule is adopted, it must apply to all cases before the committee. If additional information about the departmental committee's deliberations is desired, the committee may request explanatory information to be submitted in writing from the chair of the departmental committee. This statement will be added to the primary dossier, and the candidate will be provided an opportunity to place a rebuttal in the primary dossier.

The committee will then consider the cases before it, whether regular or appealed. Straw ballots may be taken, but these are neither binding nor recorded. Abstentions will not be registered except when a faculty member on a committee declares he/she has a conflict of interest concerning the case. At a meeting without the dean each case will be discussed and the committee will conduct its final vote. A positive recommendation by the committee will result when more than 50 percent of those casting ballots other than abstention vote to recommend tenure or promotion.

The committee must notify the dean in writing of its final ballot on each case. *(Note: The committee may meet with the dean as it sees fit, but it must hold a discussion on each case and take its final vote in the absence of the dean.)*

The results of the college/school/University Libraries deliberations and the dean's separate recommendations will be sent by the dean to the Vice President for Academic Affairs and Research. When the committee's discussion of a candidate is complete, the committee chair will summarize in writing the committee's evaluation of the candidate. The dean will also provide a written evaluation to accompany his/her recommendation for each case. These statements will be included in the primary dossier. The candidate will be provided an opportunity to review these statements and to file a written rebuttal in the primary dossier. In cases where the committee's recommendation differs from that of the dean, the case will go forward to the next higher level without prejudice and the transmittal will not constitute an appeal. A positive recommendation requires the affirmative vote of more than 50 percent of those voting. The dean will also send forward the primary dossier and the secondary dossier.

The dean will notify each candidate in writing of the committee's recommendation, the dean's recommendation, the right to appeal, if any, and the procedures for appeal. The dean will also notify the candidate that he/she may request in writing meetings with the dean and/or the chair of the college/school/University Libraries committee, at the candidate's option, to discuss the recommendation.

### **3.8124 / University Review of Nominees for Tenure or Promotion**

The Vice President for Academic Affairs and Research will give a copy of the primary dossier of each faculty member favorably recommended for tenure or promotion and of each appealed case to each member of the university committee. In addition, the Vice President for Academic Affairs and Research will indicate the location of the secondary dossiers. The materials must be available to the committee for at least five working days prior to deliberations.

If the committee discovers that information is lacking in a primary dossier, it can ask the Vice President for Academic Affairs and Research to acquire the information, which will be placed in the primary dossier. Consistent with college/school/University Libraries procedures the Vice President for Academic Affairs and Research must provide the candidate a copy of the material and allow the candidate to write a rebuttal, which will also be placed in the primary dossier.

The committee will then consider the cases before it, whether regular or appealed. The committee may request a written response from the dean on matters of interpretation of evidence, the academic needs of the unit, or its current resources, but the committee will not invite the dean or other outside persons to meet with the committee. Consistent with college/school/University Libraries procedures, the candidate shall be provided a copy of any additional written material provided to the committee and shall be provided an opportunity to write a rebuttal. Both the statement and the rebuttal will be placed in the primary dossier. Straw ballots may be taken, but these are neither binding nor recorded. Abstentions will not be registered except when a faculty member on a committee declares he/she has a conflict of interest concerning a case. At a meeting without either the Vice President for Academic Affairs and Research or the dean of the graduate school present, each case will be discussed and the committee will conduct its final vote. A positive recommendation will result when more than 50 percent of those casting ballots other than abstention vote to recommend tenure or promotion.

The committee must notify the Vice President for Academic Affairs and Research in writing of its final ballot on each case. Any person not recommended by the university committee may request meetings with the Vice President for Academic Affairs and Research and/or the chair of the university committee, at the candidate's option, to discuss the recommendations. The candidate may invite a faculty colleague to accompany him/her.

The results of university committee deliberations and the Vice President for Academic Affairs and

## CHAPTER 3 / FACULTY APPOINTMENT, TENURE, PROMOTION, and

Research separate recommendations will be sent by the Vice President for Academic Affairs and Research to the president. When the committee's decision of a candidate is complete, the committee chair will summarize in writing the committee's evaluation of the candidate. The Vice President for Academic Affairs and Research will also provide a written evaluation to accompany his/her recommendation for each case. These statements will be included in the primary dossier. The candidate will be provided an opportunity to review these statements and to file a written rebuttal in the primary dossier. In any case where the vice presidential recommendation differs from that of the university committee, the president and Vice President for Academic Affairs and Research will meet with the committee, ***before submitting his/her recommendations to the President (12-13-04)*** to discuss the reasons for his/her position.

The president will notify the candidate, ***the Vice President for Academic Affairs and Research, (12-13-04)*** the candidate's dean, and the ***candidate's (12-13-04)*** chair, in writing, of his/her decision by the calendar date. Any person not recommended by the president may request a meeting with the Vice President for Academic Affairs and Research and the president to discuss the recommendations. The candidate may invite a faculty colleague to accompany him/her, in either case.

### **3.8125 / Appeal of Decisions Related to Tenure or Promotion**

A candidate may make only one appeal during the entire review process. The appeal is made to the next higher level. No hearing is provided, and the appeal must be written. Some typical reasons for appeal are violation of academic freedom, failure to follow procedures concerning time periods or committee operations, inadequate consideration, discrimination, etc. ***[An appeal should not introduce evidence that was not referred to or included in the primary or secondary dossiers, but it may update or clarify information presented earlier. Department or college/school/University Libraries committee members may not file a minority report, even as part of the appeals process. (2-28-00)]***

The committee to which the appeal is made will give full consideration without prejudice to the case in that the committee will review it in the same manner as favorably recommended cases and will apply similar standards.

### **3.8126 / No Publication of Names of Tenure and Promotion**

Names of faculty being considered for tenure or promotion will not be published. The right of privacy of such faculty members was affirmed by vote of the faculty on March 6, 1978.

### **3.8127 / Confidentiality of Proceedings**

All deliberations are confidential. However, confidentiality cannot be guaranteed if the case goes to litigation.

### **3.8128 / Disposition of Dossiers**

The Vice President for Academic Affairs and Research in each case will keep a copy of the primary dossier for three years and return to the candidate the remaining copies of the primary dossier and the secondary dossier.

### **3.82 / Precedence of University Procedures**

If department and college/school/University Libraries tenure or promotion procedures differ from those of the university, university procedures take precedence

### **3.83 / Student Members**

Students will not cast a vote regarding the award of tenure or promotion to individual faculty members.

### **3.84 / Definition of Terms**

**Committee:** The tenure review committee at the departmental level will consist of all tenured members of the department or a committee of tenured faculty chosen by those faculty members and reported in writing to the dean. In departments with fewer than three tenured members, the college/school/University Libraries faculty will develop appropriate procedures for the review subject to the approval of the dean.

The review committee at the college/school/University Libraries level is the college/school/University Libraries tenure and promotion committee. Members of these committees are all tenured, full-time faculty with the rank of assistant professor or higher. The total membership of the committee is an odd number, with a minimum of five members. The majority of the committee are elected by the faculty, according to a representational formula adopted by the college/school/University Libraries. Members are elected or appointed for either two- or three-year terms (*depending upon the college/school/University Libraries policies*), staggered to maintain continuity. If a replacement is required due to a resignation, the replacement is selected only for the duration of the unexpired term. The committee chair is elected by the committee. No person can serve on the committee in a year in which he or she is considered for promotion or for more than two consecutive terms.

The review committee at the university level is the faculty senate tenure and promotion committee, whose general charge is established in the faculty senate rules. No person may serve on the university level review committee in a year in which he or she is considered for tenure or promotion.

**Administrator:** The administrator at the departmental level is the department chair. The dean is the administrator at the college/school/University Libraries level. The Vice President for Academic Affairs and Research is the administrator at the university level.

**Calendar:** The tenure calendar developed by the faculty and published by the VPAA&R is contained in this contained in the Handbook for Faculty.

**Documents:** The basic document consists of the twenty-five-page statement prepared by the candidate in accordance with the standard format. The primary dossier consists of this basic document, a standard cover sheet, a role statement from the department chair, the annual reviews for untenured faculty, and such other statements as may be developed during the review process. Candidates must be notified of any items added to the primary dossier and be provided an opportunity to submit a written rebuttal to such items, which will be included in the primary dossier. At each level of review, each committee member has a copy of the primary dossier. The secondary dossier consists of such additional materials as the candidate wishes to submit. Examples might include, but are not limited to, copies of publications or other evidence of scholarship, letters of external reviewers (if any were obtained), and copies of student evaluations or course materials, etc. Only one copy of the secondary dossier is maintained.

**Mandatory Review Year:** The next to the last year of the allowable probationary period is the mandatory review year.

**Straw Ballot:** A non-binding vote taken for the purpose of monitoring progress toward a final decision is a straw ballot.

**Favorable Case:** A favorable case occurs at any level of review if either the faculty committee or the administrator makes a positive recommendation concerning the case. Such cases automatically move forward for review at the next level.

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**Probationary Appointment:** A probationary appointment is an appointment that may, on the basis of continuing satisfactory performance, lead to review for the award of tenure. However, probationary appointments carry no expectation or promise that review for the award of tenure will be undertaken or that tenure will be awarded. Probationary appointments are reviewed on an annual basis and may or may not be renewed. Probationary appointments may not be continued for more than seven years.

**Temporary Appointments:** A temporary appointment is for a fixed term. Such appointments carry no rights to the consideration for the award of tenure.

### **3.85 / The Use of External Evaluation**

The use of external peer reviews is optional. In deciding whether or not to seek external peer reviews, candidates should assess how they can best make an effective case that they have met college/school/University Libraries and university criteria for tenure and/or promotion. For those candidates who elect to employ external review, a standard procedure should be followed. The dean's office will assume responsibility for obtaining the reviews in accordance with the procedures described below. The same questions will be asked of all reviewers. In general, the dean may ask reviewers to comment on (1) the originality and creativity displayed in the candidate's research, scholarship, or creative work and (2) the significance of the work and its impact on the field. Reviewers will be specifically instructed not to remark on the promotability or tenurability of candidates. Candidates will receive a copy of the reviews which identifies the reviewer. If they wish to do so, candidates may provide written rebuttals to the external reviews.

External reviewers should be distinguished scholars in their fields capable of providing an un-biased professional assessment of the quality of the candidate's work.

The process for obtaining external reviews should be started at least two months before the campus review begins. The following process should be followed if external reviews are to be obtained:

1. The candidate will give the departmental chair the names and addresses of five potential peer reviewers, six sets of reprints or copies of work that the candidate believes best represents his/her research, scholarship, or creative work, and six copies of a complete bibliography that clearly delineates the candidate's research, scholarship, or creative work. Any material that the candidate wishes to have returned should be so marked.
2. The department chair will forward to the dean information provided by the candidate along with five additional names and addresses of potential peer reviewers. The department chair may wish to seek the counsel of the faculty in developing this list. For cause, the candidate may challenge to the dean the names selected by the department chair.
3. The dean will draw by lot three reviewers from each list of names supplied. Individual colleges/schools/University Libraries shall develop their own policies regarding pursuit of non-responding or late evaluators; these policies shall be applied consistently whenever external review is sought. If fewer than three responses are obtained within a reasonable time, the dean may send additional requests for reviews to other persons named on the original lists, in rotating order from both lists.
4. The dean will send to each reviewer a letter requesting a professional opinion of the quality of the candidate's work following the guidelines stated above, along with the material supplied by the candidate.

5. Copies of the reviewers' comments will be returned to the department chair and the candidate immediately upon receipt by the dean. The department chair will add the reviews to the candidate's dossier. The chair, in consultation with the candidate, will place in the secondary dossier a brief summary of the reviewers' academic credentials. Candidates are permitted to place in the secondary dossier comments on or rebuttals to the letters provided by reviewers.

6. Reviews may be added to the candidate's dossier up until the time that the college/school/University Libraries committee begins its deliberations on the candidate.

**3.86 / University Tenure and Promotion Committee:**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch4\\_19.htm](http://webs.wichita.edu/inaudit/ch4_19.htm)*

Composition: 12

6 Chairs of Tenure and Promotion Committees for the degree-granting colleges/schools

1 Chair of the Tenure and Promotion Committee for University Libraries

2 Faculty at-large

1 Student (non-voting)

President and President-Elect of the Senate (ex officio, non-voting)

Vice President for Academic Affairs and Research (ex officio, non-voting)

Dean of the Graduate School (ex officio, non-voting).

(Ex officio members shall not be present at the meeting when final votes are taken.)

Selection: Chairs of Tenure and Promotion committees in the degree-granting college/schools/University Libraries are chosen according to procedures established in their respective college/school/University Libraries. They are elected to two-year staggered terms. Faculty at-large are selected according to standard procedures for naming members to Faculty Senate committees, except that they shall be from different Faculty Senate divisions, and shall be full-time, tenured faculty members with the rank of associate professor or higher. Faculty at-large members serve for three years. Ex officio and faculty at-large members may not serve while a candidate for promotion or incentive review, or while on sabbatical leave. Replacement appointments shall be made as needed, following standard procedures.

Charges:

1. Implement university-wide policies and procedures for awarding tenure and promotion.

2. Coordinate the Tenure and Promotion Calendar.

3. Specify the format for documentation in support of Tenure and Promotion Review, with a view to developing comparable standards throughout the University while recognizing essential college/school/University Libraries differences.

4. Formulate transmittal, reporting, and appeals procedures for awarding tenure and promotion.

5. Ensure that there are university-wide procedures for notifying the relevant administrators and those faculty members for whom tenure decisions must be made before reappointment.

6. Review tenure and promotion cases in accordance with the Tenure, Promotion, and Appeals Procedure.

7. Review annually the University guidelines for tenure and promotion in light of the various colleges/school/University Libraries guidelines.

*2007, 2010, 2013, 2016, etc. College of Education, College of Fine Arts, University Libraries*

*2008, 2011, 2014, 2017, etc. College of Health Professions, Fairmount College of Liberal Arts &*

*Sciences*

*2009, 2012, 2015, 2018, etc. W. Frank Barton School of Business, College of Engineering*

8. Report to the Faculty Affairs Committee for review issues of concern in tenure policies and tenure

## CHAPTER 3 / FACULTY APPOINTMENT, TENURE, PROMOTION, and

and promotion guidelines.

### **3.87 / Cover Sheet for Tenure and Promotion Dossiers**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch4\\_20.htm](http://webs.wichita.edu/inaudit/ch4_20.htm)*

The policy of the University shall be to require that all tenure and promotion documents use a uniform cover sheet style. These cover sheets should be attached to the front of the primary document and should not be considered a part of the twenty-five pages. Sample cover sheets are available from the college/school/University Libraries, the Office of Academic Affairs, and on the Faculty Senate Web site (<http://webs.wichita.edu/senate/topcov1.htm>).

At the department and college/school/University Libraries levels, the candidate should sign after the action at each level indicating that he/she has seen all materials that have been forwarded to the committee for consideration. This signature will not constitute agreement with the action at that level, but will merely indicate that the candidate has seen the materials.

### **3.9 / Voluntary Full Professor Incentive Review Policy**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch5\\_13.htm](http://webs.wichita.edu/inaudit/ch5_13.htm)*

#### **Purpose:**

Establish a voluntary incentive review program for tenured faculty holding the rank of Full Professor.

#### **Preamble:**

The voluntary incentive review program is intended to provide an opportunity for a (1.0 EFT) tenured faculty member holding the rank of Full Professor at Wichita State University for six (6) years to be eligible for salary supplements based on the faculty member's continuing professional work. Any Full Professor, including those holding administrative positions, may apply for the merit award if they feel that they meet the criteria provided in paragraph five below.

#### **Policy Statement:**

1. The voluntary incentive review program is available to all tenured faculty members who have held the rank of Full Professor at Wichita State University for a minimum of six (6) years (whose appointment is 1.0 EFT) and who have not received an incentive supplement under this policy in the last six years.
2. Eligible faculty members interested in participating in the voluntary incentive review program shall submit their names to the Chair of the department by the 3rd Friday in April of their fifth (5th) year as a Full Professor at WSU, at the same time as faculty seeking promotion to Full Professor as noted in the Tenure and Promotion Calendar. The candidate for the voluntary incentive review will present a primary dossier comparable to a promotion dossier to the department, highlighting work completed since the last review; the candidate may prepare a secondary dossier.
3. Chairs interested in participating in the voluntary incentive review submit their dossiers to the Full Professors of the department for review. Chairs who are candidates for the Full Professor Incentive Review Program do not participate in their own evaluation or in evaluations of candidates in the Full Professor Incentive Review Program, or when the Chair has a conflict of interest. Such cases automatically go forward without prejudice for review at the next level.
4. Salary supplements under this policy are part of the merit pay system, not the tenure and promotion

## CHAPTER 3 / FACULTY APPOINTMENT, TENURE, PROMOTION, and

process. The criteria for award of a salary supplement are the same as the criteria for promotion to Full Professor (in effect at the time the candidate files an application for full professor incentive review). In the interests of fairness and to assure comparable standards across campus, the process for review is the same as for promotion to Full Professor, and will process through the stages of the tenure and promotion review process.

The process of review involves these steps:

- (A) Nomination for review.
- (B) Departmental review of nominees by the departmental committee\* and by the Chair.
- (C) In favorable or appealed\*\* cases, college/school/University Libraries review of departmental nominations by the college/school/University Libraries tenure and promotion committee, and by the college/schools/University Libraries dean.
- (D) In favorable or appealed\*\* cases, University review of college/school/University Libraries nominations by the tenure and promotion committee, and by the Vice President for Academic Affairs and Research.
- (E) In favorable or appealed\*\* cases, approval by the president of the University.

\*In departments having fewer than three faculty members with appropriate rank, the college/school/University Libraries faculty will develop appropriate review procedures subject to the approval of the college/school/University Libraries dean.

\*\*Procedures have been established for appeal in the case of an adverse promotion recommendation at the department, college/school/University Libraries, and University levels.

Note: The applicable policies and procedures may be found in the *WSU Policies and Procedures Manual, Chapter 4*; and in the *WSU Faculty Handbook, Chapter 3*.

5. The requirements for a successful full professor incentive review merit award require that a candidate demonstrate all of the following:

- a. The candidate must have established and maintained a sustained, successful program in research, publication, or creative activity that has led to national visibility as judged by the standards of the discipline. It is the responsibility of the candidate to supply clear and convincing evidence in this area.
- b. The candidate must be able to demonstrate sustained, successful teaching at the undergraduate and/or graduate level as determined by the mission of the department. It is the responsibility of the candidate to supply clear and convincing evidence in this area.
- c. The candidate must be able to demonstrate sustained, successful service to the University and to the profession commensurate with the rank of professor. It is the responsibility of the candidate to supply clear and convincing evidence in this area.

6. Satisfactory completion of the voluntary incentive review program will result in payment of a salary supplement to the participating faculty member that equals the salary supplement paid to a person promoted to Full Professor at the same time.

**3.91 / Implementation**

This policy shall be included in the University's Policies & Procedures Manual and shared with appropriate constituencies of the University.

The Vice President for Academic Affairs and Research shall have primary responsibility for publication and implementation of this University policy.

**3.92 / Full Professor Incentive Review Cover Sheets:** <http://webs.wichita.edu/senate/fprof.htm>

## Wichita State University

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**Chapter 4 / University Evaluation Policies**

*Revisions accepted by the General Faculty 5-10-05*

**4. / University Evaluation of Teaching/Librarianship**

**4.1 / General Policy**

**4.11 / Procedures**

**4.112 / Departmental Faculty**

**4.113 / Departmental Chairs/Directors**

**4.114 / Academic Vice President & Deans**

**4.2 / Evaluation of Teaching/Librarianship**

**4.3 / Dismissal for Cause**

**4. / Evaluation of Teaching/Librarianship**

*WSU Policies & Procedures –[http://webs.wichita.edu/inaudit/ch4\\_22.htm](http://webs.wichita.edu/inaudit/ch4_22.htm)*

The following policy provisions are established with the understanding that variety in evaluation procedures at the department/college/school/University Libraries level shall be preserved, subject to providing a fair evaluation for each individual candidate based on the department's mission.

**4.1 / General Policy**

A. All faculty, with half time or more appointment and those unclassified professionals who have teaching/librarianship responsibilities amounting to 50 percent or more of their workload are to be evaluated at least once a year regardless of whether or not they are in the Academic Affairs division of the University

B. There shall be a common calendar for the evaluation of untenured faculty and for annual merit evaluation.

C. Department evaluation procedures shall focus on the year in question while providing for at least two contiguous years in each review, in order to make appropriate adjustments in salaries based on previous years with limited or no salary allocation moneys and to determine patterns and continuity in academic accomplishments.

D. The department shall be established as the primary site of evaluation. The chair of the department is responsible for maintaining the current departmental evaluation policy in an open file. The following records shall be established and maintained in individual faculty files kept in the departmental office:

- 1. Departmental instructions to persons being evaluated including the requirement to discuss flexible performance goals for the coming year with the chair. The understanding is that these goals can be re-discussed and modified during the course of the year.
- 2. Departmental evaluations for each person, including assessment of success in attainment of performance goals.
- 3. The relationship between evaluation and departmental pay recommendation for each person.
- 4. The rationale for changes in departmental evaluations and pay recommendations made by persons outside the department.

E. There shall be no information requested for annual evaluation that is not intended for that purpose.

F. Persons being evaluated should be informed of any submitted information that was not reviewed by the evaluators involved in the evaluation process.

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G. There shall be developed procedures for an open information flow between affected parties as per the procedure outlined below, and an opportunity for the person being evaluated to appeal at each stage of the process that will meet the prevailing budget time line requirements.

H. The majority of any departmental review committee, if established according to the following procedure, must be tenured faculty.

### **4.11 / Procedures**

#### **4.112 / Departmental Faculty:**

The faculty of each department shall establish a written policy for annual evaluation of all faculty with half-time or more appointments and those unclassified professionals who have teaching/librarianship responsibilities amounting to 50 percent or more of their workload.

Chairs and deans shall review departmental policy and meet with the departmental faculty in the interest of any changes that should be made.

The faculty of each department shall cast a secret ballot at least every third year on whether they desire to elect annually a faculty evaluation committee for the purpose of evaluating the department members with teaching/librarianship responsibilities and providing merit pay recommendations to the department chair. If such a committee is established, its chair will meet with the department chair to report on the committee's recommendations for merit pay distribution within the department. If the departmental faculty elect not to establish a committee, the department chair will have sole responsibility of evaluating the department's teaching personnel/librarian personnel and generating the department recommendation for merit pay distribution within the department.

#### **4.113 / Department Chairs\Directors (*hereafter referred to as chairs*):**

Chairs shall transmit departmental pay recommendations for the entire department, according to faculty established policy, to each person being evaluated as soon as these are developed and ready for transmittal to the dean. At that time, each person being evaluated may appeal his/her individual pay recommendations to the department chair.

Chairs shall transmit departmental pay recommendations to their dean along with a prioritized list of individuals they recommend for any additional salary increases.

#### **4.114 / Academic Vice President and Deans:**

Deans shall transmit their pay recommendations to the Academic Vice President for the entire department. At the same time, the dean will explain to the chairs any changes recommended by the dean in the department's salary recommendations. The chairs are responsible for immediately informing the person being evaluated.

The Academic Vice President shall transmit that office's departmental pay recommendations for the entire department to each dean who has the responsibility of informing the department chairs as soon as these are developed. The chair is responsible for informing the person being evaluated at that time.

Administrators above the department level shall prepare a written explanation, attaching any relevant documents, of all changes they make in pay recommendations sent to their office. The explanation shall be transmitted to the person being evaluated and to the department chair.

#### 4.2 / Evaluation of Teaching/Librarianship

Kansas Board of Regents policy statements of April 1992 and December 1994 mandate that there be a formal evaluation of teaching as part of the annual merit salary review. In compliance with these policy statements, the University has developed the following steps in the evaluation of all University faculty with half-time or more appointments and those unclassified professionals who have teaching responsibilities amounting to 50 percent or more of their workload.

1. Each department shall develop an explicit statement of the appropriate information to be used for teaching evaluation in that department and an explicit statement of the criteria used for the evaluation of that information.
2. Multiple sources or kinds of information shall be used. Examples are cited in Regents policy statements and in the Faculty Evaluation Committee report to the Faculty Senate (5/95).
3. Student survey results must be included in the information sought.
4. The information presented must be evaluated by peers or knowledgeable colleagues.
5. To protect the broad faculty prerogatives explicit in Regents policy, department faculty shall act immediately to implement those policies. Accordingly, these faculty shall:
  - a. Determine the kinds of information appropriate for their disciplines or for the various subdisciplines represented in their department.
  - b. Describe the peer evaluation process with respect to the requisite information. Determine the appropriate criteria which are used to judge the information.
  - c. Determine the appropriate criteria which are used to judge the information.
  - d. Write a departmental policy statement incorporating items a. through c. above.
  - e. Ensure that the unit operates in accord with its own policy.

Portions of Kansas Board of Regents policy statements have direct implications for faculty action and should be consulted for additional reference and guidance. (*Faculty Performance Evaluation, 4/92 and Policy on Teaching Evaluation, 12/94, Kansas Board of Regents*).

Since all faculty with half-time or more appointments and those unclassified professionals who have teaching responsibilities amounting to 50 percent or more of their workload must be rated by students at least once a year, the department faculty shall determine the form or forms appropriate to its discipline among those which conform to the criteria stated in the policies of the Board of Regents (*Policy on Teaching Evaluation, Board of Regents, 12/94*). Surveys intended for faculty evaluation must conform to certain administrative practices:

1. Persons being evaluated do not have access to blank survey forms and they have no responsibilities to administer the survey nor to tally survey results.
2. Personnel who distribute and collect the surveys will acknowledge by their signature that they conducted the survey for a particular class and they recorded the number of students present at the time the survey was taken.
3. Persons being evaluated shall have access to a copy of raw scores of any survey used for evaluation.

*Note: The Vice President for Academic Affairs and Research will establish procedures in consultation with the Faculty Senate for implementation of this policy. These procedures will pertain only to the time and form of the evaluation policy.*

#### 4.3 / Dismissal for Cause Policy

*WSU Policies & Procedures – [http://webs.wichita.edu/inaudit/ch4\\_23.htm](http://webs.wichita.edu/inaudit/ch4_23.htm)*

## CHAPTER 4/FACULTY BENEFITS RESPONSIBILITIES

### **Preamble:**

The President and representatives of the Faculty Senate have worked to revise University policies relative to Dismissal For Cause, particularly with regard to the Informal Review Committee.

### **Policy Statement:**

When reason arises to question the professional fitness of a faculty member who has tenure at Wichita State University or whose term of appointment has not expired, the appropriate administrative officers should ordinarily discuss the matter with the faculty member in personal conference.

If mutual consent is not reached on the matter at this point, a committee appointed by the president of the Faculty Senate, at the request of the Vice President for Academic Affairs and Research (VPAAR), will be charged to meet with the parties and informally inquiring into the situation to effect an adjustment if possible, and, if not effected, to provide advisory recommendations to the president of the University whether formal proceedings to consider dismissal of the faculty member should be instituted.

Upon the conclusion of its review, the Informal Review Committee should make one of the following recommendations to the faculty member, the VPAAR, and the president of the University:

- a. The Informal Review Committee recommends that formal proceedings to consider dismissal of the faculty member should be instituted.
- b. The Informal Review Committee concludes that the evidence presented is not sufficient to support the institution of formal proceedings.
- c. The Informal Review Committee concludes that the concerns which have been raised, even if proved, do not merit dismissal.

The rationale for the recommendation should be included with the recommendation.

After reviewing the recommendation of the Informal Review Committee, the president of the University will determine whether the case for dismissal should proceed. If the decision is to proceed, a communication from the VPAAR addressed to the faculty member will inform him/her of the decision to dismiss him/her for cause. The faculty member should also be informed that if he/she so requests within 10 days, a formal hearing to determine whether he/she should be removed from his/her faculty position on the grounds stated will be conducted by a faculty committee at a specified time and place. In setting the date of the hearing, at least 20 days should be allowed the faculty member to prepare a defense. The faculty member should be informed, in detail or by reference to published regulations, of the procedural rights that will be accorded. Not less than one week before the date set for the hearing, the faculty member should reply in writing whether he/she wishes a hearing. If the formal hearing is held the recommendations of the Informal Review Committee will be included in the materials presented to the hearing committee.

Only charges considered by the Informal review Committee may be considered as grounds for dismissal. The VPAAR may add to or amend charges by reconvening the Informal review Committee.

The committee of faculty members to conduct the hearing and make a final recommendation to the University president should be jointly named by the president of the Faculty Senate and the University president as soon as possible after the faculty member requests a formal hearing. The members of the hearing committee should be chosen on the basis of their objectivity and competence and the regard in which they are held in the academic community. Parties to the hearing may offer challenges for cause to those named to the committee, and those challenged will be replaced if either appointing official finds there is sufficient cause to do so. The committee should elect its own chairperson. The published

## CHAPTER 4/FACULTY BENEFITS RESPONSIBILITIES

regulations applicable to the conduct of the formal committee's inquiry and to the rights of the faculty member are in the *Kansas Board of Regents, Policy and Procedures Manual (1995 edition) item 8(4) on page 7F* and are repeated as follows: "the accused teacher shall be informed before the hearing in writing of the charges against him and shall have the opportunity to be heard in his own defense by all bodies that pass judgment upon his case. He may have with him an adviser of his own choosing who may act as counsel. There shall be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence, the testimony should include that of teachers and other scholars, either from his own or from other institutions." The hearing committee should give opportunity to the faculty member or his/her counsel and the representative designated by the VPAAR to argue orally before it, and should formulate its recommendation in conference, on the basis of the hearing. The hearing committee should make explicit findings with respect to each of the grounds of removal presented. The faculty member should be notified of the committee's recommendation in writing and should be given a copy of the record of the hearing.

The University president will receive and consider the hearing committee's recommendations. If the decision is to dismiss the faculty member, the University president will so inform the faculty member in writing, stating the grounds for dismissal, and indicating the effective date of the end of the faculty member's employment and any specific arrangements to be made regarding separation salary or other relevant matters.

### **Implementation:**

This policy shall be included in the *WSU Policies and Procedures Manual* and shared with appropriate constituencies of the University.

The Vice President for Academic Affairs and Research shall have primary responsibility for publication, dissemination and implementation of this University policy.

### **Revision Date:**

November 1, 1998

August 18, 2000



**CHAPTER 5/ Faculty Benefits and Responsibilities and Leaving the University**  
*Revisions accepted by the General Faculty, 5-10-05*

*For more information regarding Leave Policies at WSU, see*  
[http://webs.wichita.edu/inaudit/ch\\_5.htm](http://webs.wichita.edu/inaudit/ch_5.htm)  
*revisions made to Handbook 4-06*

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5. /Leave Policies  
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5.1 / Sabbatical Leave:

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In strictly meritorious cases, a faculty member who has served continuously for six years or longer may be granted a leave of absence with partial pay for a period up to one year.

Wichita State University's policy on sabbatical leaves is based on Board of Regents policy that states, in part, that sabbatical leave may be granted under the following conditions.

In strictly meritorious cases, a full-time faculty member on regular appointment at any of the Regents institutions of higher education who has served continuously for a period of six years or longer at one or more of these institutions, may, at the convenience of the institution and upon the approval of the president or chancellor of the institution with which connected, be granted not to exceed one such leave of absence for each period of regular employment for the purpose of pursuing advanced study, conducting research studies, or securing appropriate industrial or professional experience; such leave shall not be granted for a period of less than one semester nor for a period of more than one year, with reimbursement being made according to the following schedule:

1. for nine-months faculty, up to half pay for an academic year, or up to full pay for one semester.
2. for twelve-months faculty, up to half pay for eleven months, or up to full pay for five months.

*Kansas Board of Regents, Policy Manual (1995 edition), item 12(a) beginning on page 9F*

A faculty member applying for sabbatical leave is required to file an official Application for Sabbatical Leave and sign a Sabbatical Leave Agreement by which he or she agrees to return to Wichita State University for a period of at least one year immediately following expiration of the period of leave. In the event of failure to return, the faculty member agrees to refund all sabbatical pay, or, on failure to remain for at least one year, to refund that portion of sabbatical pay which is in proportion to the amount of time not served as required by the agreement.

Sabbatical leave requests should be prepared on official forms which are obtainable in a packet from the Office of Academic Affairs. Leave requests are due in the deans' offices no later than the last Friday in September and in the Office of Academic Affairs no later than the second Friday of October of the academic year preceding the proposed leave. Leave requests are then referred to the Faculty Support Committee (FSC), a committee whose charge is to review leave proposals in terms of merit, solicit additional information where needed, and make ranked recommendations to the Vice President for Academic Affairs and Research who performs the final evaluation. Each applicant is informed of University action on his/her sabbatical leave request on the second Friday in February.

Procedures and policies established for sabbatical leaves are as follows:

1. The applicant requests and receives from the Office of Academic Affairs a packet which includes the WSU Application for Sabbatical Leave, the Board of Regents Sabbatical Leave Agreement form, and the WSU Summary of Review form.
2. Each leave application form is completed in sufficient detail to permit review by the FSC and evaluation by the Vice President for Academic Affairs and Research. The application is first submitted to the applicant's chairperson, who transmits the form through his/her dean to the Vice President for Academic Affairs and Research for delivery to the FSC.
3. Recommendations from the chairperson and the dean, detailed on the Summary of Review form, accompany the application when it is transmitted to the Vice President for Academic Affairs and Research. The recommendation must include a statement from the applicant's chairperson or dean

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concerning provisions to be made for the work load of the applicant during his/her absence. The statement should cover the direction of those graduate students for whom the applicant is the thesis or dissertation advisor. It should also indicate whether any additional expense to the University, apart from sabbatical salary, would occur if the leave were granted. Applications involving such additional costs are not ordinarily approved without special justification.

4. If the proposed program of work is contingent upon the applicant's receiving additional financial aid from the University, apart from sabbatical salary, or from external sources, details concerning such contingency should be included on the Summary of Review form. The sources from which external support is being sought should be identified and the nature of any services required in connection with the receipt of such support should be related to the purpose of the leave.
5. No later than 60 days from the first day of classes in the semester of the faculty member's return from sabbatical leave, he or she is required to submit a Final Report on the sabbatical projects. A form for filing this report will be sent to the faculty member early in the semester of his/her return to campus. The completed Final Report is to be submitted, through the chairperson and dean, to the Vice President for Academic Affairs and Research. It will be referred to the FSC and the President, then transmitted to the Office of Academic Affairs for filing in the permanent records of the University. If appropriate, the Final Report should include a description of specific plans for sharing the results of the sabbatical leave with the recipient's departmental colleagues or other groups on campus.

The Sabbatical Leave Policy of the Regents system, and Wichita State University in particular, is based on the assumption that such leaves do not occur automatically at stated intervals, but are awarded on merit and are clearly designed to encourage scholarly and professional achievement for the mutual benefit of the faculty member and the University.

The scope of activities that may be undertaken by WSU faculty on sabbatical leaves is quite broad, encompassing not only the traditional purpose of scholarly research, but the more nontraditional purposes of professional development or redevelopment. At WSU, leaves have been granted for advanced study, for specific research projects, for creative projects, for curriculum/instructional development, for residencies to observe the programs and methods of other institutions, for travel related to academic and professional development, for occupational experience designed to enhance professional qualifications, and many other similar purposes. Work toward a graduate degree does not normally qualify as an acceptable program for a sabbatical leave.

Sabbatical leave programs properly serve the interests of the faculty member and the university as a whole. Faculty who have accumulated service with the University benefit from having a period away from normal campus obligations in order to pursue special interests or projects related to their professional lives. The period of renewal offered by such leave also benefits the University, which welcomes back at the conclusion of a successful leave a faculty member with new ideas, enthusiasm, and accomplishments.

The sabbatical leave application process contains some features designed to enhance the probability of successful sabbatical leaves. In the application materials, faculty are asked to demonstrate special aptitude for their proposed projects, indicating previous professional or scholarly work related to the area of activity proposed for the leave. Sufficient documentation must be presented to enable the University to conclude that the goals of the leave probably will be accomplished and that the project cannot be completed without such a leave.

A particular concern of the University is the difficulty of granting leaves to faculty in small

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departments. A disproportionate negative effect may be felt by students and colleagues when a faculty member who is the only person with programmatic expertise needed on a regular basis by the department takes a sabbatical or other type of leave. Faculty in small departments, therefore, need to plan their leaves in advance, and obtain assurance from their department and college that arrangements can be made to cover their responsibilities while absent. As previously indicated, Regents policy limits the number of sabbatical leaves in any fiscal year to not more than four percent of the equivalent full-time faculty with rank of instructor or higher. The University further stipulates that the number of leaves in any fiscal year may not be so great in any department, division, or college, or on the campus as a whole, as to disrupt the continued and regular course offerings, or to affect the quality of education offered to the students. Final approval of the sabbatical leave for a faculty member being reviewed for continuous tenure is contingent upon the awarding of tenure. Questions regarding the sabbatical leave policies and procedures of the University may be addressed to the Vice President for Academic Affairs and Research.

### **5.11 / Sick Leave:**

Faculty who are forced to be absent from their duties for reason of personal illness or temporary disability are eligible to receive sick leave pay.

#### **Accrual of Sick Leave Credit:**

Faculty will accrue sick leave credit at the rate of one working day for each calendar month of full-time employment with no limit on the number of days which can be accumulated. Accumulations of sick leave credit for months spent on less than full-time status shall be reduced proportionately.

Accumulations for time on sabbatical leave will be proportioned according to the pay status during that period. No sick leave credit will be awarded for periods when faculty are on leave without pay status. Faculty employed less than half-time, lecturers, and adjunct/faculty associates are not eligible for sick leave.

#### **Use of Sick Leave:**

Sick leave with pay may be granted only for the necessary absence from duty because of personal illness, disability, or legal quarantine of the faculty member; or the personal illness or disability of a member of the faculty member's family when the illness or disability reasonably requires the faculty member to be absent from work. Personal illness includes disability caused or contributed to by pregnancy, termination of pregnancy, childbirth, and the recovery therefrom. Faculty member's family includes persons related to him/her by blood, marriage, or adoption, and minors residing in the faculty member's residence as a result of court proceedings pursuant to the Kansas code for care of children or the Kansas juvenile offenders code.

It will be the responsibility of each faculty member to report sick leave utilized to his or her departmental office on a biweekly basis. Sick leave should not be reported in increments of less than one-half day.

Departmental chairpersons or budget officers will submit a biweekly departmental record of sick leave used to the Office of Human Resources.

At such time that all accrued sick leave credit has been used, and dependent upon the nature and circumstances of the illness, faculty may be eligible for leave without pay.

**Compensation for Accrued Sick Leave:** Each faculty member retiring from the unclassified service of the State of Kansas who has accumulated 100 days or more of sick leave shall receive at the time of retirement compensation for his or her accumulated sick leave as follows:

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1. Compensation for not more than 30 days if such faculty member has completed eight or more years of such service and has accumulated at least 100 but less than 125 days of sick leave,
2. Compensation for not more than 45 days if such faculty member has completed 15 or more years of such service and has accumulated at least 125 but less than 150 days of sick leave, or
3. Compensation for not more than 60 days if such faculty member has completed 25 or more years of such service and has accumulated 150 days of sick leave or more.

Retirement contributions shall be deducted from all compensation for accumulated sick leave paid to each faculty member who retires, and benefit calculations shall include such compensation.

### **5.12 / Vacation Leave:**

Faculty at Wichita State University employed on a 12-month basis are entitled to vacation leave. Vacation leave is implemented by the following administrative guidelines:

#### **Accrual of Vacation Leave:**

Full-time faculty on a 12-month basis earn 22 working days of vacation leave in a complete fiscal year. Leave credit shall be accumulated at the rate of two days for each month of service for all months of full-time employment with the exception of the last month in any fiscal year. Accumulations of vacation leave credit for months spent on less than full-time service shall be reduced proportionately. Twelve-month faculty employed less than half-time are not eligible for vacation leave. The maximum amount of vacation leave which can be accumulated is 38 days. Accumulations of vacation leave credit for time on sabbatical leave will be proportioned according to the pay status during the period. No vacation leave credit will be awarded for periods when faculty are on leave-without-pay status.

Nine-month and ten-month faculty do not earn vacation leave.

#### **Use of Vacation Leave:**

Vacation leave should be arranged in advance with the approval of the faculty member's budget officer and budget review officer.

Military leave in excess of 12 workdays a year may be charged to vacation leave at the faculty member's request.

#### **Compensation for Accrued Vacation Leave:**

In the event of a termination, accrued vacation leave should be taken prior to the end of the appointment period; and the budget officer may require that, if possible, some or all of the faculty member's accrued vacation leave be taken in lieu of payment. However, if any vacation leave remains unused as of the termination date, for whatever reason, Board of Regents policy stipulates that the faculty member must be paid for unused accrued vacation leave up to a maximum of 240 hours. In case of termination prior to completion of an initial 12-month appointment, accrued leave may be taken by the faculty member or must be compensated regardless of the number of months of service.

### **5.13 / Holidays:**

The Board of Regents has adopted the following policy:

Regents institutions shall observe the following holidays for all faculty:

New Year's Day                      Labor Day  
Martin Luther King Day      Veteran's Day

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Memorial Day	Thanksgiving Day
Independence Day	Christmas Day

Faculty shall be entitled to such other special holidays as may be declared by the Governor. If any listed or special holidays fall during a time when classes are in session, such holidays shall not be observed by faculty.

Faculty within the Regents system who accrue annual leave shall be entitled to one additional holiday per year to be taken at their discretion, subject to the advance approval of the faculty member's budget officer and budget review officer.

### **5.14 / Jury Duty; Other Required Appearance Before a Court or Other Public Body:**

Each faculty member holding a full-time appointment with executive, regular, or provisional status (excluding those with temporary status and those employed less than half-time), shall be granted leave with pay by their budget officer and budget review officer for:

1. required jury duty; or
2. in order to comply with a subpoena as a witness before the Kansas Human Rights Commission, the United States Equal Employment Opportunity Commission, or a court.
  - a. Leave with pay may be granted to any executive, regular, or provisional unclassified professional for an appearance before a court, a legislative committee, or other public body, if the budget officer and budget review officer consider the granting of leave with pay to be in the best interest of the state.
  - b. When any faculty member travels in a state vehicle for a required appearance before a court or a legislative committee, or other public body, the faculty member shall turn over to the state any mileage expense payments received.
  - c. Each faculty member granted leave under this section who receives pay or fees for a required appearance, excluding jury duty, shall turn over to the state the pay or fees in excess of \$50. The faculty member may retain an amount paid to him/her for expenses in traveling to and from the place of the jury duty or required appearance, except as provided in subsection b above.
  - d. Faculty shall not be entitled to leave of absence with pay in circumstances where the faculty member is called as a witness on the faculty member's own behalf in an action in which the faculty member is a party.

### **5.15 / Military Leave:**

Military leave with pay will be granted to faculty who are members of any of the armed forces of the United States when they are ordered to duty for the usual short training or instruction period, not to exceed 12 workdays in any one calendar year or for short tours of local emergency duty. Military leave in excess of 12 workdays a year may be charged to vacation leave at the faculty member's request, or leave without pay. If the faculty member has no vacation leave credits and is absent for less than one week while on temporary military leave, the faculty member will be considered in pay status.

### **5.16 / Funeral Leave:**

Reasonable leave with pay may be granted to a faculty member by the departmental budget officer for the purpose of attending the funeral of any member of the faculty member's or his/her spouse's immediate family. The term "immediate family"; as used here, includes spouse, parents, grandparents, children, grandchildren, brothers, sisters, aunts, uncles, nieces, nephews, or those of similar close relationship by blood, marriage, or adoption. "Reasonable leave" will generally be interpreted as one to six days, depending on the relationship of the deceased to the faculty member and the travel required.

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Additional time may be granted at the discretion of the budget officer based on individual circumstances.

### **5.17 /Leave Without Pay:**

A faculty member may be granted a leave of absence without pay when it is judged to be in the best interest of the University. Written application for such leave, together with the endorsements of the appropriate departmental chairperson and/or dean or director, should be submitted to the Vice President for Academic Affairs and Research. The Kansas Board of Regents policy on such leaves is stated as follows:

"A leave without pay for up to three years may be granted by the chief executive officer of the employing institution when such is judged by the chief executive officer to be in the best interest of the institution. No leave may be granted to any employee who has accepted a permanent position with another postsecondary education institution.

Any extension of a leave without pay beyond three years requires approval of the board. The chief executive officer of the employing institution shall provide documentation of extraordinary circumstances justifying the extension of such leave beyond three years.

Leaves without pay will not be regarded as a break in service; however, such leave will not count toward the earning of sabbatical leave nor will other than a scholarly leave count toward the tenure probationary period. Scholarly leave will count toward the tenure probationary period unless the employee and the institution agree in writing to the contrary at the time the leave is granted.

During a leave of absence without pay, an employee's eligibility for health insurance shall be determined by and be in accord with the policies, rules and regulations of the State Employees Health Insurance Commission."

*Kansas Board of Regents, Policy Manual (1995 edition), item 12 (b) on page 10F*

### **5.18 / Family and Medical Leave Act:**

The Family and Medical Leave Act (FMLA) requires employers to provide 12 weeks of paid/unpaid leave to eligible employees for FMLA qualifying family and medical reasons.

Eligible Employees:

1. Work for a covered employer.
2. Worked for the employer a minimum of 12 months.
3. Worked a minimum of 1,250 hours over the previous 12-month period.
4. Employee or family member (spouse, dependent child, parent - does not cover in-laws) must have a serious health condition (see Qualifying Medical Reasons.)

Leave Entitlement:

Eligible employees receive up to 12 workweeks of paid/unpaid leave for FMLA qualifying reasons. The employee is required to use accumulated vacation or sick leave before the use of leave without pay.

The primary care physician must provide a medical statement or certification form. All related documents will be maintained in the Office of Human Resources.

FMLA Job Benefits:

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Employer maintains employee's health coverage for the 12-week period.

### **FMLA Job Protection:**

Employer must restore original or equivalent position/benefits/pay. FMLA leave cannot result in the loss of any accrued benefits.

### **Qualifying Medical Reasons:**

1. Birth of the employee's child, placement/adoption or foster care of a child with the employee.
2. The employee is unable to work because of a serious health condition (e.g., illness, injury, physical or mental impairment. Condition must be serious enough to require hospitalization, hospice, or medical care facility stay; treatment/supervision of a health care provider; continuous treatment for a chronic, long-term health disorder.) If it appears the absence may be FMLA qualifying, or if the employee is away from work for 3 or more consecutive days, the illness may be considered a "serious health condition." The employee's supervisor will send a memo to OHR for final determination (verification).
3. Care for an immediate family member with a serious health condition (as listed above).

### **5.19 / Shared Leave:**

All faculty who accumulate sick leave shall be eligible for participation in the shared leave program. Shared Leave may be granted to a faculty member if the faculty member or a family member is experiencing a serious, extreme or life-threatening illness, injury, impairment, or physical or mental condition which has caused, or is likely to cause, the faculty member to take leave without pay or to terminate employment. In accordance with state regulations, the maximum duration of shared leave granted for a faculty member's illness or injury is six months unless the faculty member does not qualify for long-term disability, in which case the maximum duration is twelve months. While using shared leave, a faculty member will continue to accrue leave at the regular rate which must be deducted each pay period before shared leave is used.

### **Recipient eligibility requirements:**

1. Six months continuous state service.
2. Satisfactory attendance record.
3. Exhausted all paid leave (must use accumulated leave before the use of leave without pay).
4. Cannot perform duties.

### **Donor eligibility:**

1. Sick Leave donation requires balance of 480 hours after donation. Donations made at the time of a faculty member's separation from service require no remaining balance.
2. Donations may be made to an eligible employee in another state agency.

### **Donor Leave:**

University faculty will be granted leave with pay for recovery time away from work when they have chosen to donate organs, tissue, bone marrow, blood or blood products. Donor leave may not be used to care for family members who are donors.

Faculty may receive up to 30 working days of paid leave for recovery from an organ or tissue donation procedure, up to 7 working days of paid leave following the donation of bone marrow, up to 1.5 hours of paid leave every 4 months for the donation of blood and up to 3 hours of paid leave every 4 months for

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the donation of blood platelets or other approved blood products. Donor leave is recorded for the exact number of hours used in quarter hour increments.

### **5.2/ Faculty Personnel Records**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch5\\_11.htm](http://webs.wichita.edu/inaudit/ch5_11.htm)*

Faculty members fill out the Faculty Personnel Record early in their first period of service in the University. The record deals with marital status, education and degrees, military service, occupational history, awards, memberships, and offices in professional and learned organizations, etc. A complete transcript of college/school/University Libraries and university work is also required. Faculty personnel records are maintained in the Office of the Vice President for Academic Affairs and Research.

### **5.3 / Resolution of Internal Disputes**

*WSU Policies & Procedures – [http://webs.wichita.edu/inaudit/ch5\\_06.htm](http://webs.wichita.edu/inaudit/ch5_06.htm)*

#### **5.31 / Right of Consultation**

A faculty member may invite a colleague to attend a discussion or meeting with her chair, dean, or other supervisory administrator at which the faculty member's professional activity or performance will be discussed, and should notify the administrator accordingly.

The invited colleague may act as an advisor or witness, and may participate in the discussion if invited to do so by any of the others present. He or she may take notes, if all parties agree.

The invited colleague is not a representative of the faculty member whom they accompany and is not a legal counsel. His or her role is that of colleague and advisor, with a responsibility to assist in the consultations to produce a satisfactory resolution of the dispute. Responsibility for any decisions or actions taken remains with the parties to the dispute. Any other administrative officer invited to such a meeting or discussion has the same limited responsibilities as an invited faculty colleague, unless he/she has regular, pre-existing administrative responsibilities for the issues being discussed.

When a faculty member invites a colleague to attend such a meeting or discussion, he or she assumes responsibility for any loss of confidentiality that results from that colleague's actions. The presence of an invited colleague does not imply that a written record of the meeting must be kept; it does not preclude any participant from submitting a summary memorandum to others who were present for their authentication.

#### **5.32 / Grievance Procedure**

*revisions accepted by the President– 2006*

##### **Grievance Procedures Summary:**

In order to attempt to resolve internal disputes within the campus community, Wichita State University has established a grievance procedure for faculty members. This procedure, when implemented, provides faculty with an opportunity to have a grievance complaint considered by a Grievance Review Committee made up of faculty members. The Review Committee then makes recommendations to the Vice President for Academic Affairs and Research

##### **Grievance Procedures in Summary Form:**

I. A faculty member who has a grievance must make a bona fide effort to resolve the matter through University channels. In most instances this should occur within the faculty member's department or office and should involve the chairperson or immediate supervisor, and if appropriate, the dean.

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2. If the dispute is not settled, the faculty member must contact the Chairperson of the Rules Committee. If a grievance involves discrimination, the faculty member should notify the Director of Equal Employment Opportunity before contacting the Chairperson of the Rules Committee. In discrimination grievances, if contacted first, the Rules Committee Chairperson will direct the faculty member to the Director of Equal Employment Opportunity.
3. The faculty member must file a formal complaint with the Chairperson of the Rules Committee and request that a Convener and a Review Committee be appointed.
4. If the faculty member elects to waive a hearing, the Review Committee will evaluate the evidence and base its findings and recommendations on such material.
5. If the faculty member elects a hearing before the Review Committee, the specific procedures for the hearing are provided in the statement of Policies and Procedures for Processing Grievances at Wichita State University.
6. After the hearing, the Review Committee will deliberate and submit its findings and recommendations to the vice president of the University having jurisdiction over the respondent.
7. Following evaluation of the Review Committee's recommendations, the vice president will decide the case.
8. Either party to the grievance may appeal this decision to the President.

### **Policies and Procedures for Processing Grievances for Faculty:**

#### **I. General Information**

##### **A. Internal Disagreements**

To resolve internal disputes, to assure careful consideration of personnel actions and complaints, and to safeguard academic freedom, Wichita State University provides for the review of grievances filed by faculty members of the University. The term "faculty member" refers to a person who, at the time the grievance is filed, is a full-time member of the faculty or who holds a fractional time appointment of .5 or more, and who holds the rank of assistant instructor, instructor, assistant professor, associate professor, or professor. This grievance procedure cannot be used by classified staff, or by students.

Faculty members should turn to the grievance process only after the normal methods of administrative remedy have been tried. Relief should be sought from at least one level higher in the administrative structure other than the department unit.

WSU and faculty assume that it is possible and desirable to resolve disputes through internal processes. It is also assumed that the procedures are not the same as a court trial. If a faculty member appeals to agencies outside the University before the internal grievance procedure has been completed, the President of the University may tell the Rules Committee to stop the review.

##### **B. Exclusions**

Complaints based on the following are excluded from this grievance procedure:

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- Tenure and Promotion
- Retrenchment
- Hiring Decisions
- Traffic Fines
- Library Fines
- Dismissal for Cause
- Sexual Harassment
- Complaints of Unlawful Discrimination

### C. Time Limits

The complaint form must be filed within three months from the date on which the grievance occurred or the date on which it became known. Grievance hearings will not be conducted between May 18 and August 18. Grievances filed during that period will be processed after August 18.

### II. Suspension of Faculty Member During the Proceedings

A faculty member may be suspended during a grievance if, in the judgment of the President, immediate harm to the faculty member or to others is threatened by continued service. This suspension occurs without prejudice and, except in extremely unusual circumstances, without loss of compensation until the grievance procedures herein are concluded and the action of the vice president is taken pursuant to Section VIII L. of this policy.

### III. Initial Procedures in Processing a Grievance

Any faculty member who has a grievance must make a bona fide effort to resolve the matter through University channels at the most immediate level. In most instances this should involve the chair, and if appropriate, the dean. If discrimination is alleged, the faculty member may initially seek resolution by contacting the Director of Equal Employment Opportunity rather than the chair or dean. If the complaint is directed against a faculty member, office, or entity outside the department, the grievant must also make a genuine effort to resolve the matter.

### IV. Formal Request for Review - Statement of the Problem

A faculty member who is unable to settle the dispute must obtain a complaint form from the Chairperson of the Rules Committee. In discrimination cases, the faculty member should consult with the Director of Equal Employment Opportunity before contacting the Chairperson of the Rules Committee. In discrimination grievances, if contacted first, the Rules Committee Chairperson will direct the faculty member to the Director of Equal Employment Opportunity. The Rules Committee must decide whether the faculty member has made a bona fide effort to resolve the problem. The complaint form requires the faculty member to describe the nature of the complaint, state the alleged improper action, and explain the desired redress. This statement will serve as a petition requesting the Rules Committee to call together a Review Committee to review the matter. Submission of a petition does not automatically entail investigation or a detailed consideration of the problem. The Rules Committee will decide within five class days whether the grievance should be processed and a Review Committee formed. A decision not to process the grievance may be appealed to the Faculty Senate President who will decide within three class days of receiving the appeal whether to overrule the decision. If the petition is accepted, the Rules Committee Chairperson shall appoint a Convener and a Review Committee. The Convener will see to it that the other parties to the action, the dean, and the appropriate vice president receive a copy of

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the written statement of the complaint within three class days of its receipt.

### V. Conveners

NOTE: The Convener is not a voting member of the Grievance Review Committee. The Convener's role is that of an administrator and executive secretary.

A. Conveners will be drawn from a panel of six faculty members. This panel will be selected by the Agenda Committee of the Senate in consultation with the Chairperson of the Rules Committee and the Vice President for Academic Affairs and Research. Panel members will serve three year staggered terms.

B. The Chair of the Rules Committee will assign a Convener to each grievance within ten class days after the decision to process the grievance.

C. Responsibilities of the Convener. The Convener will:

1. Send, within three days of receiving it, a copy of the complaint to all parties to the action, to the dean, and to the appropriate vice president.
2. Schedule all meetings of the Review Committee.
3. Chair all meetings of the Review Committee.
4. Keep all parties informed.
5. Ensure that fair and proper procedures are followed.
6. File the final report with the appropriate vice president's office.
7. Act as secretary for all appeals of the grievance.

D. The Vice President for Academic Affairs and Research and the President of the Faculty Senate will arrange annual training sessions for Conveners.

### VI. The Review Committee

A. Selecting the Review Committee

1. The Rules Committee will establish and maintain a pool of 30 or more faculty to act as potential Review Committee members. Members of the pool will be selected at random from the eligible faculty in proportion to the numbers in each rank. None of these may be members of the Rules Committee. Persons selected must petition the Vice President for Academic Affairs and Research to be excused from membership in the pool.
2. The pool will be representative of the University's faculty and include members of the federally defined protected classes.
3. Within ten class days after the Convener is appointed, a Review Committee of five will be chosen from the pool by the Chair of the Rules Committee. In discrimination cases, the committee will contain representatives of protected classes.
4. Faculty may remove themselves from the case for bias or conflict of interest. In addition, each party to the grievance will have a total of four challenges.
5. If any member of the Review Committee is unable to continue because of illness or for other good and sufficient reasons, a replacement agreeable to both parties will be named by the Chair of the Rules Committee or the committee may continue to operate with fewer members if agreeable to both parties.
6. Members of the Review Committee pool shall serve three-year terms.

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7. Pool members will receive annual training in grievance procedures. The Vice President for Academic Affairs and Research and the President of the Faculty Senate will arrange the training sessions.
- B. The Review Committee has the following responsibilities:
1. To attend all meetings called by the Convener.
  2. To ensure that fair and proper procedures are followed.
  3. To consider all pertinent and relevant evidence in the case.
  4. To decide whether the allegations have been sustained by the evidence, determine whether a wrong has occurred, and to make recommendations concerning possible relief.
  5. In discrimination cases, the Director of Equal Employment Opportunity will serve as technical advisor to the Review Committee.

### VII. Preliminary Activities

- A. The parties to the dispute will submit and exchange prepared written summaries of the major issues in the case at the meeting referred to in paragraph B. The Convener will meet with the parties to:
1. Clarify and, where possible, simplify the issues.
  2. Indicate what must be proved.
  3. Establish the facts, if this is possible.
  4. Provide for the exchange of documents and other information.
  5. Arrange the use of witnesses and advisors.
  6. Direct and/or implement such other reasonable actions by the parties as will make the final steps in processing the case fair, effective, and expeditious.
  7. Establish a deadline for providing appropriate materials no later than five class days before the formal hearing. The Convener will notify either or both parties of specific material/information requested by the Review Committee.

These activities must be completed within 15 class days after the appointment of the Convener.

- B. The Convener will call the Review Committee to its first meeting. This meeting will be no later than ten days after the appointment of the Review Committee. At this meeting the Committee will:
1. Review the procedures and responsibilities of the Review Committee.
  2. Schedule its first hearing meeting. The first hearing meeting will be no later than 15 class days after the appointment of the Review Committee.

NOTE: All parties should make every effort to cooperate with the Convener and each other during these preliminary activities. Under unusual or extenuating circumstances the Convener may agree to reasonable extensions of deadlines. However, if there are unjustifiable delays in the proceedings, the Convener may so advise the Review Committee. At its discretion the Review Committee may determine that one or the other party is not cooperating, report this fact to the Rules Committee, and adjourn. If the adjournment is accepted by the Rules Committee, the Convener will declare the proceedings closed and the process at an end.

### VIII. Hearing Procedures

- A. The Convener shall establish a time for the hearing, taking into account the needs of the parties.

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B. The Review Committee will judge what information it needs to decide the case and may request that either or both parties provide such additional information as it deems appropriate. The Review Committee has no power of subpoena. Attendance at the hearing and the submission of materials are voluntary. Normally the hearing will be closed, but the Review Committee and both parties may decide that it should be open to the public.

C. The hearing is not a court of law and should not be expected to follow the rules and procedures of a court. However, the course of the hearing should exhibit every effort to ensure a thorough, fair, open, and impartial review.

D. At the Review Committee's discretion, during the course of the hearing the grievant may be invited to amplify the statement of complaint; the other party may be asked to speak in defense; both parties may call witnesses; the Review Committee may question both parties and all witnesses.

E. The parties to the grievance may invite an advisor from the Wichita State University community to be present and give counsel.

F. No transcript of the hearing will be kept, but each committee member may keep notes to assist in preparing a report describing the proceedings, conclusions, and recommendations of the Review Committee. A committee member's notes will be confidential and the work product of the committee member.

G. When the Review Committee is satisfied that all reasonably available pertinent information has been presented, the Convener shall declare the hearing closed.

H. The Review Committee shall deliberate in private in order to review the information presented and arrive at its recommendations.

I. The Review Committee must submit a written report of proceedings, conclusions, and recommendations no later than ten class days after the close of the hearing. The Convener will send the report to the parties of the dispute, the dean, and the appropriate vice president. NOTE: The report should (1) restate the charges, (2) present the facts, (3) indicate whether a wrong occurred, (4) recommend what should be done.

J. The Review Committee will make its recommendations to the vice president, who will decide to accept, reject, or modify those recommendations. The existence of the grievance procedure assumes that the faculty recommendations will generally be accepted and will be rejected or modified only for compelling reasons.

K. Either party has the right to make a final statement in writing to be sent to the vice president receiving the committee's report. The statement must be submitted no later than five class days after receipt of the Review Committee's recommendations.

L. The vice president will act on the matter within ten class days after the deadline of receipt of final statements mentioned in K. Notice of final action shall be sent to the Convener. The Convener will notify both parties, the dean, and the Review Committee of the action taken by the vice president.

M. The written material presented by both parties to the Review Committee and the Review Committee's final report (Sec I. above) will be kept on file by the Vice President for Academic Affairs and Research for three years. This material will be held in confidence as personnel related material.

## IX. Appeal Procedures

- A. Either party to the grievance may appeal the decision of the vice president.
- B. Within ten class days from the date of the receipt of the vice president's decision, a letter requesting an appeal must be sent to the President, with a copy to the Review Committee Convener, who will assure that the dean, the vice president, Review Committee members, and the other party to the grievance are informed.
- C. The letter requesting the appeal must state the basis for seeking the appeal. An appeal must be based on one or more of the following reasons:
  1. The decision was not substantiated by the evidence,
  2. The decision was erroneous in light of applicable University standards, policies, and/or procedures,
  3. The procedures as outlined in this policy and/or as modified by the Review Committee (as allowed by the policy) were not followed, or
  4. Actual bias on the part of the Review Committee and/or vice president.
- D. The other parties to the dispute and the Review Committee may submit written comments to the President regarding the appeal no later than five class days after receipt of the notice of the appeal.
- E. The President shall review the original materials, any statements sent by the parties to the vice president or the President regarding the grievance, and the vice president's final action.
- F. The President shall notify the vice president, both parties to the dispute, and the Convener of the Review Committee of his or her final action within ten class days of receipt of material.

### 5.4 / University Policy Prohibiting Sexual Harassment

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch3\\_06.htm](http://webs.wichita.edu/inaudit/ch3_06.htm)*

#### I. INTRODUCTION

It is the policy of Wichita State University to prohibit discrimination against individuals or groups of individuals based on race, sex, religion, national origin, age or disability in all aspects of University life. To prevent discrimination, the University has adopted a variety of policy statements to educate and advise University constituencies. In addition, the University has adopted a comprehensive Affirmative Action Plan which outlines procedures that are aimed at eliminating discrimination.

In addition to being illegal, sexual harassment runs counter to the objectives of this University. When people, whether student, faculty, unclassified professional or classified staff feel coerced, threatened, intimidated, or otherwise pressured by others into granting sexual favors, their academic and work performance is likely to suffer. In addition, such actions violate not only the dignity of the individual, but also the integrity of the University as an institution for learning. Academic freedom flourishes when all are free to pursue ideas in a non-threatening, non-coercive atmosphere of mutual respect. Sexual harassment is thus harmful not only to persons involved, but also to the entire University community.

With the adoption of this policy on sexual harassment, Wichita State University reaffirms its commitment to maintaining an environment free of intimidation, fear, reprisal and coercion---one in which students, faculty, unclassified professionals and classified staff can develop intellectually,

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professionally, personally and socially.

### II. RESPONSIBILITIES

All members of the University community are responsible for promoting a positive working and learning environment where all persons are free to discuss any problems or questions they may have concerning sexual harassment at the University, without fear of intimidation or retaliation. To that end, the University administration shall widely disseminate this policy and procedures prohibiting sexual harassment so that all members of the University community are fully informed of their rights and responsibilities.

A. University officials are committed to contributing to a positive learning and working environment by acting in a manner which is fair, by attempting to resolve complaints, and by educating members of the University community to eliminate prohibited activities and any acts of retaliation.

B. It is the obligation of administrators and supervisors who become aware of sexual harassment in their area of responsibility to take steps to prevent its continuation. Failure to do so is a violation of this policy.

C Persons experiencing unwelcome, harmful, or offensive behavior are encouraged to communicate directly with the person whose behavior is perceived or experienced as sexually harassing. Communicating directly that such behavior is unwelcome, harmful or offensive will often result in the resolution of the complaint prior to resorting to the University's stated informal and/or formal complaint procedures.

D This policy is not intended and will not be implemented in such a way as to censor or punish students, faculty, or staff members for exercise of their First Amendment right to express their individual ideas and viewpoints on any topic. This policy is also not intended and will not be implemented in a way that infringes on academic freedom.

E University employees are cautioned against entering romantic and/or sexual relationships with any individual where a professional power differential exists even if that relationship is a consensual one. The potential for harassment claims arising out of such relationships makes them unwise. Examples of professional power differentials include romantic and/or sexual relationships between a faculty member and a student over whom the faculty member has a supervisory role, a classified supervisor and an employee who reports to the supervisor, or an unclassified professional supervisor and a student assistant/employee who reports to the supervisor. When a charge of sexual harassment is made, in this context, it may be difficult to show immunity on the grounds that the relationship was consensual.

F Claims of sexual harassment that are frivolous, vindictive and without support or merit may constitute a form of sexual harassment.

### III. DEFINITION

Sexual harassment involves behaviors which interfere with an individual's work or learning environment through unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct which unreasonably interferes with an individual's work performance or educational experience, or creates an intimidating, hostile or offensive working or learning environment. To the extent that individuals are protected from a "hostile environment," it must be understood that the University cannot protect its constituents from verbal conduct which is upsetting, rude, or uncivil. A

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hostile environment complaint under this policy requires that a reasonable person in the complainant's circumstances experiences conduct which is severe and/or pervasive enough that the conditions of such persons' work or educational environment are altered.

In determining whether alleged conduct constitutes sexual harassment, it is necessary to look at the entire context and pattern of behavior. The clearest example of sexual harassment is an attempt to coerce an unwilling person into a sexual relationship by using an employment or educational relationship. However, any behavior, whether verbal or physical, constitutes sexual harassment if:

- A person is intimidated by the threat, overt or implicit, that any educational or employment decision may be affected by unwillingness to tolerate or accept sexual attentions.
- A person is required to tolerate or accept sexual attentions as a condition of employment or learning.
- Any educational or employment decision has been affected by a person's refusal to comply with or tolerate inappropriate sexual behavior.
- The behavior creates an environment that a reasonable person of ordinary sensitivity would find intimidating, hostile, or offensive on the basis of sex, and which interferes with that person's ability to work or learn.
- Any reprisals are taken for reporting or objecting to sexual harassment

### IV. PROCEDURES

The procedures for dealing with sexual harassment issues and complaints are essentially similar for all persons at Wichita State University. The levels or types of procedures, namely Counsel and Advice, Informal Procedure and Formal Procedure, are consistent across all employment categories. An intent of this policy is to have the procedures of this policy compatible with existing related policies such as grievance procedures. Therefore, some differences in procedures exist among the major employment categories of classified, faculty, and unclassified professional. For students, existing established procedures are also recognized and utilized in this policy. The Counsel and Advice procedures are exactly the same for all categories. The informal and formal procedures for classified staff, unclassified professionals and students are presented with a combined set of procedures. The faculty procedures, while essentially parallel, are presented separately.

#### ***A. COUNSEL AND ADVICE***

1 Regardless of an individual's personal responsibility to deal with grievances directly and informally, this is not always practical in cases of perceived sexual harassment. The person may fear retaliation from the perceived harasser. Further, the perceived harassment may be of such a nature that engaging in such conduct violates not only reasonable standards of personal conduct, but the standards of professional conduct that the University expects and requires its professional employees to observe.

2 Individuals may, therefore, seek counsel and advice from various campus offices, such as the Counseling Center, or from trusted individuals in order to clarify in their own mind the situation they find themselves in, or to explore various means available for redressing their grievance.

3 When seeking counsel and advice, persons should keep in mind that:

- Managerial employees of the University, such as department chairs, office supervisors, deans, etc., may be required by law or University policy on the prudent exercise of supervisory responsibilities to report even informal complaints of sexual

harassment that come to them.

- Managerial employees who are required by virtue of their position to report sexual harassment complaints to higher University authorities should so inform potential complainants and advise them where they can go for unofficial discussions if that is what the potential complainant is seeking.
- Persons who want to pursue unofficial discussions should visit the Counseling Center, or speak to others in the University who do not have supervisory responsibilities.
- Potential complainants should keep it in mind that neither the Affirmative Action Officer nor other University officers are permitted to be advocates for complainants in developing or pursuing a complaint. While these officers are obligated to enforce and implement University policy, they must seek to assure fairness to both parties and to protect the University's interests. The University's interest is in the fair treatment of all those involved in the process, while complying with its legal obligations as an employer.

## ***B. FACULTY PROCEDURES***

### ***1. PERSONAL RESPONSIBILITY***

a. In general, people should assume responsibility for dealing with the conflicts, misunderstanding, and grievances that arise from their interactions with other people in everyday life. This applies to perceived instances of sexual harassment and to other matters. It is always appropriate to inform a perceived harasser that his/her conduct is objectionable and to seek a mutual accommodation.

b. No one shall abridge a faculty member's right to be accompanied to a meeting or discussion by a colleague of his/her choice. Other than as provided for below, all parties are obligated to protect the confidentiality of the proceedings.

### ***2. INFORMAL PROCEDURE FOR FACULTY***

a. When any member of the University community or applicant for employment or admission believes, in good faith, that he or she may have been sexually harassed by a faculty member, they may bring a complaint to any appropriate member of the University community, including any academic or administrative officer such as a dean, supervisor, the representative of the Office of Student Affairs, or department chair. Unless the complainant chooses to withdraw the complaint at the time of initial contact, the person contacted will refer the complaint either to the department chair of the faculty member accused in the complaint, or to the Affirmative Action Officer, as the complainant prefers.

b. Persons wishing to make complaints should take note that timely reporting of a complaint will greatly facilitate any subsequent investigation.

c. The chair or Affirmative Action Officer will interview the complainant and the accused faculty member, and seek to resolve the issues between them in a

manner consistent with University policies and satisfactory to both parties.

d. If a satisfactory resolution is achieved, a factual report of the complaint, the accused faculty member's response to it, and the basis of the complaint's resolution, will be prepared by the chair or Affirmative Action Officer and signed by both parties. The signature of the parties will signify that they accept the resolution of the complaint as stated in the report and that they agree to abide by its terms.

e. Each party will receive a copy of the report. In addition, the report will be placed in the personnel or student files of both parties and will remain confidential under all circumstances within the University's control. In the absence of similar complaints in the five years following the date of the report, both copies of the report retained by the University will be destroyed.

f. The fact that, within the stated time periods, a faculty member agreed to adverse findings in a complaint of sexual harassment may be used as evidence of a pattern of misconduct in a subsequent inquiry. However, a faculty member shall not be held accountable twice for the same misconduct if he/she had abided by the terms that resolved a previous complaint. Evidence of a pattern of misconduct may be used to justify more severe sanctions or penalties in a subsequent complaint. No claims of a pattern of misconduct will be allowed that are not substantiated by written reports signed by the faculty member, or by the findings of a formal hearing, or by direct testimony.

g. In the case of a student complaint against a faculty member where the faculty member makes counter allegations against the student, and where the inquiry by the department chair or Affirmative Action Officer finds merit in the faculty member's counter allegations, the allegation against the student will be referred to the Office of Student Affairs for disposition. In the case of a classified or unclassified professional employee's complaint against a faculty member where the faculty member makes counter allegations against the employee, and where the department chair or Affirmative Action Officer finds merit in the faculty member's counter allegations, the allegations against the employee will be referred to the Office of Human Resources for disposition.

h. The parties to the complaint may invite an advisor from the Wichita State University community to be present and give counsel.

### **3. FORMAL PROCEDURES FOR FACULTY**

a. In the event that informal procedures fail to resolve a complaint, either party may request a formal hearing.

b. When a case is appealed to a formal hearing because one or both parties is unwilling to accept the findings of the informal procedure, the case will be heard by a panel convened under the procedures of the Faculty Grievance process. At the complainant's request, or if the dean of the college/school/University Libraries so determines, the complaint will be presented and argued at the hearing by the department chair, the Affirmative

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Action Officer, or another designated administrative officer. The complainant must appear as a party to the case, and must give testimony. Failure to do this will result in dismissal of the case. Both complainant and accused may be assisted during the hearing by a member of the University community of their own choosing.

c. As provided for in the Grievance Procedure, the Findings of the hearing panel will be reviewed by the Vice President for Academic Affairs and Research and the President of the University. The Presidents's decision will be final in all matters. Although the President has final legal authority from the Board of Regents in personnel matters, the interest of the University in faculty self-governance and the principle of peer evaluation suggest that the recommendations of internal hearing panels will generally be accepted. In cases where the recommendations of an internal panel are not accepted, the President will discuss the basis for his/her decision with the internal hearing panel as well as the direct participants in the grievance process. If additional or new information or evidence is brought to the attention of the Vice President for Academic Affairs and Research or the President of the University during their respective reviews, the internal hearing panel should be reconvened to hear said additional or new information or evidence to consider whether revisions of its original findings and recommendations are justified.

d. Neither findings of fact, assessments of responsibility, nor sanctions or penalties recommended or imposed after a formal hearing require the approval or agreement of either party involved in the complaint.

e. The final report of the hearing panel, and a record of the final decision by the President regarding the complaint will be provided to each party and placed in the personnel or students files of both parties.

f. The University will protect the confidentiality of the report under all circumstances within its control, except that it may report the filing and resolution of a complaint, and imposition of sanctions or penalties without identifying the parties or their departmental or college/school/University Libraries affiliations. In the absence of similar complaints in the next five years, both copies of the report retained by the University will be destroyed. While the full report may be destroyed, a record of the fact that sanctions or penalties were imposed and agreed to will be retained permanently in the personnel record and may be reported to potential employers.

g. All complaints of sexual harassment will be initially reviewed according to the procedures in this policy. In some cases, however, a formal hearing panel may recommend, or the administration may determine, that a faculty member found guilty of sexual harassment should be dismissed for cause due to the nature of his/her offense. In that case, the Vice President for Academic Affairs and Research will refer the case to the Dismissal for Cause procedure. The issue in those proceedings shall be whether the offense of which the faculty member has been found guilty warrants dismissal, or whether a lesser sanction is appropriate. The dismissal proceedings may consider alleged mitigating circumstances, but shall not retry the question of guilt. If the dismissal case is rejected, the original hearing panel in the harassment case will, if necessary,

recommend a lesser sanction, and the disposition of the case will proceed as provided for in this policy.

***C. PROCEDURES FOR CLASSIFIED AND UNCLASSIFIED PROFESSIONALS***

***1. INFORMAL PROCEDURES***

a. Any member of the University community or applicant for employment or admission who, in good faith, believes that he or she may be experiencing sexual harassment may bring such a complaint to any appropriate member of the University community, including any academic or administrative office of the University. For example, any dean, director, supervisor, department chair, or advisor may serve as the initial contact for an informal complaint. Successful resolution efforts will be greatly facilitated by the timely reporting of complaints. The more time that elapses, the more difficult it will be to ascertain the truth of the matter and pick appropriate remedial action.

b. Upon receipt of a possible sexual harassment complaint, the University officer, administrator or other person shall promptly notify the Affirmative Action Officer of the existence of the complaint. The Affirmative Action Officer shall maintain a record of the informal complaint as well as the result of the informal procedures.

c. The responsible University official to whom the complaint was brought or the Affirmative Action Officer shall function as a mediator to attempt to resolve informally the complaint of sexual harassment. To this end, the mediator's responsibilities are:

- Listen to the complaint, and assist the complainant in clarifying his/her experiences and feelings.
- Advise complainant on his/her options, both informal and formal.
- At the request of complainant, talk to the person against whom the complaint is brought in an attempt to work out a satisfactory solution and convey to the complainant the results of that discussion.
- If the complainant is pleased with the outcome of the mediation process, the matter ends there.

***2. FORMAL PROCEDURE FOR CLASSIFIED AND UNCLASSIFIED PROFESSIONALS AND STUDENTS***

Procedures for resolution of formal complaints should be thorough yet expeditious. Should a formal review be deemed necessary, both the complainant and the person against whom the complaint is brought (the respondent) will be informed of the content of the complaint and will have a full opportunity to be heard. All parties will be able to obtain information about the progress of the review. The time period required for the review may vary from case to case, but all parties will be informed if an extended delay is anticipated. Normally the review period will be completed within sixty days. The Affirmative Action Office representative and the responsible administrator must remain impartial during the administrative process and work in concert to ensure that all involved be treated fairly.

***A. PROCEDURES:***

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1. Report the complaint to the University administrator responsible for the department or other unit in which the harassment is believed to have occurred (henceforth referred to as the responsible administrator), unless that person is already personally involved or is already aware of the behavior that is the subject of the complaint. In some cases there may be more than one responsible administrator. For students with complaints of harassment by other students, the designated administrators in the Division of Student Affairs are identified as the responsible administrator. The complaint may also be initiated directly with the University Affirmative Action Officer.
2. Complaints filed later than 180 days from the most recent occurrence normally will not be considered due to the fact that with the passage of time it becomes more difficult to investigate a complaint. However, a complainant who files after 180 days will have the opportunity to argue that special circumstances exist and request that the complaint be submitted for investigation, or mediation or administrative action in light of special circumstances.
3. If a complaint is made to the responsible administrator, that individual will confer with the appropriate Affirmative Action Office representative concerning the resolution of the complaint. Likewise, should the complaint be made to an Affirmative Action Officer, the Officer will confer with the responsible administrator. If the substance of the complaint warrants further review, both administrators, acting together, will review the complaint. If a complaint is made to the Division of Student Affairs, a staff member will contact the Affirmative Action Officer.
4. The Affirmative Action Officer and the responsible administrator will conduct an interview with the complainant to acquire a thorough understanding of the complaint. A written statement of the complaint will be developed by the complainant. The responsible administrator and the Affirmative Action Officer will offer assistance to the complainant in the development of this written statement.
5. The Affirmative Action Officer and the responsible administrator, after consultation as necessary, will determine whether the complaint, as reported, alleges sexual harassment in violation of Wichita State University Policy Prohibiting Sexual Harassment. The conclusion (s) reached will be communicated to the complainant. The responsible administrator will communicate the conclusion(s) to the respondent of the complaint.
6. If it is concluded that further inquiry is warranted, a meeting will be scheduled with the Affirmative Action Officer, the responsible administrator, the respondent, and a fourth person if the respondent chooses to bring one person for personal support. At that meeting the respondent will receive both a verbal explanation and the written statement of the complaint. The respondent will have access to relevant information pertaining to the complaint and will be given the opportunity to respond, but is under no obligation to respond immediately. The respondent also will be cautioned against retaliation and to maintain confidentiality. Future meetings may be scheduled to allow the respondent the opportunity to reflect and respond to the complaint.
7. If the respondent chooses to make a written response to the complaint, the responsible administrator and the Affirmative Action Officer will offer assistance to the respondent, if needed, in the development of the written response.

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8. With or without a response from the respondent, the Affirmative Action Officer and the responsible administrator may interview other persons who have specific knowledge about the alleged incident(s). Persons interviewed will be informed 1) that the fact that an investigation is underway should not lead to any assumed conclusion and 2) to maintain confidentiality.

9. A determination will be made, after completion of all interviews, as to whether a violation of the Policy Prohibiting Sexual Harassment has occurred.

10. If it is determined that sexual harassment has not occurred, both the complainant and the respondent will receive letters stating the steps that have been taken in the review process and the determination from the administrators involved in the review.

11. If it is determined that harassment has occurred, the following measures will be taken.

- a. Both the complainant and the respondent will receive letters from the administrators involved in the review outlining the steps taken in the review process, the determination made and the sanctions to be imposed.
- b. Sanctions will be devised in accord with the seriousness of the behavior. Sanctions may range from admonishment to, in extreme cases, a recommendation for dismissal.
- c. Steps will be taken to prevent further acts of harassment.
- d. Steps will be taken to prevent acts of retaliation for bringing the complaint.
- e. If a remedy exists and is within the ability of the University community to provide, then a recommendation to that effect may be made.

### V. CONFIDENTIALITY

It is the obligation of administrators and supervisors to whom a complaint of sexual harassment is brought to maintain confidentiality. This will not preclude investigation, allowing respondents to reply to a complaint or provision of a remedy to persons injured by acts of harassment where that is practical.

### VI. APPEAL BEYOND THE ADMINISTRATIVE PROCEDURES

A. Complainants who believe that a satisfactory resolution of their complaint of sexual harassment has not been reached by the administrative process described above may take their complaint, within 90 days, to the appropriate Grievance Review Committee. Unresolved complaints of sexual harassment by students against other students may also be heard by the appropriate student judicial council.

B. Any employee of Wichita State University aggrieved by sanctions imposed in relation to an alleged act of sexual harassment may appeal through the appropriate grievance procedure.

### VII. TRAINING

The Affirmative Action Officer of Wichita State University is responsible for providing training to all University employees concerning sexual harassment issues and procedures. The training program should be designed to: 1) sensitize employees to the rights and responsibilities of all concerned parties; 2) provide supervisors and administrators with current information on applicable laws, rules, regulations and procedures; and 3) demonstrate appropriate techniques for the careful investigation and mediation of sexual harassment allegations.

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### VIII. DISSEMINATION

The University administration shall make every reasonable effort to inform all members of the University community regarding the proper procedures and persons available for the handling of sexual harassment complaints. In particular, this information should be communicated to all new students and employees as an integral part of their orientation experience

*Adopted by the Faculty Senate 8/26/98 --- Signed by the President 10/96*

#### 5.5 / Professional Development

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch5\\_07.htm](http://webs.wichita.edu/inaudit/ch5_07.htm)*

Professional development and continuing professional education are essential elements in an institution's quest for academic quality. At Wichita State University, the primary responsibility for professional development rests with the individual. Increasing effectiveness in teaching, research, and service is expected of each member of the faculty.

In an era of limited resources, however, the institution is developing a variety of opportunities for faculty to obtain the resources needed for professional growth. Within the limits of its capabilities, the University provides some funds for travel to professional meetings. Each fall and spring, the University research committee awards small grants to faculty who need some support to initiate or complete a research project.

Various offices throughout the institution offer programs directed at the improvement of instruction such as the University College/School advising offices and the Testing Center within the Counseling Center. The Counseling Center staff is available to faculty and staff who wish to discuss personal and professional issues. Each year, a number of seminars and dialogue groups are provided in which professional and instructional issues are discussed. The Vice President for Academic Affairs and Research' office can also arrange part-time administrative internships for faculty seeking new perspectives on the institution.

Finally, faculty are advised to take advantage of the many seminars, workshops, and presentations provided often on an informal and ad hoc basis by a number of academic units and interest groups.

#### 5.51 / Faculty Awards

Wichita State University through the WSU Board of Trustees has three university-wide awards. The first is for excellence in teaching, the second is for the advancement in teaching, and the third is awarded to a scholar new to WSU. The recipients of the awards are announced at commencement.

#### 5.6 / Faculty Right to Academic Freedom

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch5\\_08.htm](http://webs.wichita.edu/inaudit/ch5_08.htm)*

The University's position on academic freedom includes the following:

The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of the teacher's academic duties. The faculty member is entitled to freedom in the classroom in discussing the subject, but the faculty member should be careful not to introduce controversial matter which has no relation to the subject.

The faculty member is a citizen, a member of a learned profession, and an officer of an educational institution. When the faculty member speaks or writes as a citizen, the faculty member should be free from institutional censorship or discipline, but the faculty member's special position in the community

imposes special obligations. As a person of learning and an educational officer, the faculty member should remember that the public may judge the profession and the institution by the faculty member's utterances. Hence, the faculty member should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that the faculty member is not an institutional spokesperson.

### **5.61 / Rights & Responsibilities of Academic Professionals and Collegiality**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch5\\_08.htm](http://webs.wichita.edu/inaudit/ch5_08.htm)*

Faculty members are at one and the same time employees of the University, members of learned professions, and members of the Faculty of the Wichita State University. Each of these roles carries with it various rights, responsibilities, and privileges. Together, these rights, responsibilities, and privileges define the profession of the university professor as teacher, scholar, and public servant.

As employees of the University, faculty members are subject to policies adopted by the University; policies, procedures, and regulations adopted by the Kansas Board of Regents; and various laws and regulations established by the State of Kansas governing the conduct of its employees.

As members of learned professions, faculty members share with colleagues throughout the nation and the world, including members of the university administration, responsibility for the discovery, dissemination, and preservation of knowledge in their chosen fields. They also enjoy the rights and privileges necessary to the work of scholars and teachers, many of which have been explicitly recognized and sanctioned by the Kansas Board of Regents in its enactments. These include academic freedom, as defined in the American Association of University Professors 1940 Statement of Principles, and its various interpretative statements.

As members of the Faculty of the Wichita State University, faculty members have specific rights and responsibilities with respect to the academic rules, regulations, and programs of the University, University governance, and Faculty governance. These rights and responsibilities are outlined and summarized in this Handbook. These specific provisions reflect standards and expectations recognized by the academic professions throughout the United States.

The principles that govern the resolution of disputes at the Wichita State University are those of collegiality and consultation. Preferably, the consultation is among the parties directly involved in the dispute, and results in a decision which all parties accept. When this fails, for whatever reason, the parties involved may wish to bring in other members of the university community, either informally, by invitation, or formally, by invoking specific rights of appeal provided for in this Handbook.

Collegial relationships among faculty members, and between faculty members and administrative officers of the University, are based on a mutual recognition of, and respect for, the various roles that faculty members and administrators play, and the rights, responsibilities and privileges involved in these roles. For example, faculty members should respect the lawful authority of administrative officers of the University, who exercise supervisory responsibility for the University, on behalf of the Kansas Board of Regents and the State of Kansas. At the same time, administrative officers should respect the scholarly, creative, and professional rights of faculty members, based on their status as members of the learned professions.

When disputes arise over the proper interpretation of faculty rights, responsibilities, and privileges, the expectation is that these disputes will be resolved after consultation between the parties involved, and generally within the framework of established lines of authority. Normally, disputes are resolved in

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consultation with the chair of the department; failing that, in consultation with the dean of the college/school/University Libraries; failing that, in consultation with the Vice President for Academic Affairs and Research; and failing that, in consultation with the President of the University. Extraordinary circumstances will dictate appropriate modifications consistent with these expectations.

When disputes cannot be resolved through such informal consultation, this Handbook provides other means of resolving various disputes. These include (but are not limited to): appeal of tenure and promotion recommendations to college/school/University Libraries or university level committees, or to the President; appeals of curricular and academic policy questions to the faculty of a college/school/University Libraries, or to the University Faculty; placing an issue before the Faculty Senate; employing the Faculty Grievance Procedure. In each of these cases, the matter in dispute is placed before colleagues and peers for their consideration, judgment, and recommendation. There are few, if any, matters for which the University does not provide some formal means of appeal for review or reconsideration of a decision affecting a faculty member.

### 5.62 / Faculty Ethics Statement

*WSU Policies and Procedures* – [http://webs.wichita.edu/inaudit/ch5\\_08.htm](http://webs.wichita.edu/inaudit/ch5_08.htm)

The Faculty Senate adopted the following statement on faculty ethics on November 8, 1982:

*I. Faculty members, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end they devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although they may follow subsidiary interests, these interests must never seriously hamper or compromise a faculty member's freedom of inquiry.*

*II. As teachers, faculty members encourage the free pursuit of learning in their students. They hold before the student the best scholarly standards of their discipline. They demonstrate respect for the student as an individual and adhere to their proper roles as intellectual guides and counselors. They make every reasonable effort to foster honest academic conduct and to assure that they evaluate students according to their true merits. They respect the confidential nature of the relationship between teacher and student. They avoid any exploitation of students for private advantage and acknowledge significant assistance from them. They protect the student's academic freedom.*

*III. As colleagues, faculty members have obligations that derive from common membership in the community of scholars. They respect and defend the free inquiry of their associates. In the exchange of criticism and ideas they show due respect for the opinions of others. They acknowledge their academic debts and strive to be objective in their professional judgment of colleagues. They accept their share of faculty responsibilities for the governance of their institution.*

*IV. As members of their institution, faculty members seek above all to be effective teachers and scholars. Although they observe the stated regulations of the institution, provided these do not contravene academic freedom, they maintain their rights to criticize and seek revision of them. Faculty members determine the amount and character of the work they do outside their institution with due regard to their paramount responsibilities within it. When considering interruption or termination of their service, they recognize the effect of their decision upon the program of the institution and give due notice of their intention.*

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*V. As members of their community, faculty members have the rights and obligations of any citizen. They measure the urgency of these obligations in the light of their responsibilities to their subject, their students, their profession, and their institution. When faculty members speak or act as private persons, they avoid creating the impression that they speak or act for their college/school/university Libraries or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, faculty members have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.*

### **5.63 / Resolution on Academic Freedom and Campus Disruption**

The following resolution on academic freedom and campus disruption was adopted by the Board of Regents on June 19, 1970:

*WHEREAS, the Members of the State Board of Regents recognize that academic freedom is a necessary adjunct of higher education in the State of Kansas, and,*

*WHEREAS, academic freedom includes not only the right of dissent, but also the freedom to pursue academic aims by all segments of our colleges and universities, and,*

*WHEREAS, small numbers of the student bodies and/or employees of Kansas state colleges and universities are pursuing activities deliberately designed to, and which do, disrupt regularly scheduled activities of said institutions, and,*

*WHEREAS, disciplinary boards organized to provide student and faculty review of disruptive actions are, at times, harassed and delayed in conducting said reviews, and,*

*WHEREAS, the interest of citizens and taxpayers of the State and of the majority of students and faculty is detrimentally affected.*

*NOW, THEREFORE, BE IT RESOLVED, by the State Board of Regents that the chief administrative officer of each of the state universities and colleges be hereby directed to immediately suspend any employee, faculty member or student of said institution where said student, faculty member or employee is engaging in activities deliberately designed to, and which do, disrupt the normal and ordinary process of education and training offered by said institutions, said suspension to remain in effect pending such procedural steps as may be required under the rules and regulations of the state institutions and the laws of the State of Kansas. The heads of the state institutions shall take such action as is necessary to stop such activities.*

*BE IT FURTHER RESOLVED, that this action not be considered as limiting any authority of said chief administrative officers in the performance of their duties.*

### **5.7 / Leaving the University**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch7\\_11.htm](http://webs.wichita.edu/inaudit/ch7_11.htm)*

#### **5.71 / Resignations**

##### **5.711 / Statement of Resignation**

Mobility of faculty members among college/school/University Libraries and universities is rightly recognized as desirable in American higher education. Yet the departure of a faculty member always requires changes within her institution and may entail major adjustments on the part of affected

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colleagues, the administration, and students. Ordinarily a temporary or permanent successor must be found and appointed to either his position or the position of a colleague who is promoted to replace him/her.

The standards set forth below are recommended to administrators and faculties, in the belief that they are sound and should be generally followed. They are predicated on the assumption that proper provision has been made by employing institutions for timely notice to probationary faculty members and those on term appointments, with respect to their subsequent status. In addition to observing applicable requirements for notice of termination to probationary faculty members, institutions should make provision for notice to all faculty members, not later than March 15 of each year, of their status the following fall, including rank and (unless unavoidable budget procedures beyond the institution forbid) prospective salary.

1. Negotiations looking to the possible appointment for the following fall of persons who are already faculty members of other institutions, in active service or on leave-of-absence and not on terminal appointment, should be begun and completed as early as possible in the academic year. It is desirable that, when feasible, the faculty member who has been approached with regard to another position inform the appropriate officers of this institution when such negotiations are in progress. The conclusion of a binding agreement for the faculty member to accept an appointment elsewhere should always be followed by prompt notice to his institution.

2. A faculty member should not resign in order to accept other employment as of the end of the academic year, later than May 15, or 30 days after receiving notification of the terms of her continued employment the following year, whichever date occurs later. It is recognized, however, that this obligation will be in effect only if institutions generally observe the time factor set forth in the following paragraph for new offers. It is also recognized that emergencies will occur. In such an emergency the faculty member may ask the appropriate officials of her institution to waive this requirement; but he should conform to their decisions.

3. To permit a faculty member to give due consideration and timely notice to her institution in the circumstances defined in paragraph 1 of these standards, an offer of appointment for the following fall at another institution should not be made after May 1.

4. Institutions deprived of the services of faculty members too late in the academic year to permit their replacement by securing the members of other faculties in conformity to these standards, and institutions otherwise prevented from taking timely action to recruit from other faculties, should accept the necessity of making temporary arrangements or obtaining personnel from other sources, including new entrants to the academic profession and faculty personnel who have retired.

5. Except by agreement with his institution, a faculty member should not leave or be solicited to leave a position during an academic year for which he holds an appointment.

### **5.712 / Resignation Procedures**

*revised and accepted by President 2-09*

#### **Resignation:**

Resignations should always be submitted in writing to the faculty member's department chairperson or dean. The letter of resignation will be forwarded through the dean to the Vice President for Academic Affairs and Research, who will acknowledge the resignation on behalf of the University. Unless an alternate date is specified, the effective date of a resignation shall be the termination date of the faculty member's appointment, current as of the date of submission of the resignation.

**Final Departure:**

Prior to final departure from campus, faculty members are expected to make arrangements for determining the final grades of their students and to follow the procedures described in the following:

1. Faculty members must submit an appropriate written advisory of their departure to their budget officers. Resignations should be submitted by May 1 or within 30 days after appointment notices are mailed.
2. The budget officer fills out a Change of Status Form and forwards the form to the budget review officer. (No position may be advertised until this form is completed and Affirmative Action procedures have been followed.)
3. When the Change of Status form is received in Academic Affairs, Academic Affairs will notify the faculty member of the applicable procedures, will notify the appropriate units of the change of status, and will make certain the faculty member receives a termination checklist for discussion with the faculty member's chair.
4. The faculty member should schedule an exit interview with Academic Affairs.

**5.72 / Retirement**

**5.73 / Resignation/Retirement/Termination Procedures**

Prior to final departure from campus, terminating faculty members are expected to make arrangements for determining the final grades of their students and to follow the "Resignation/Retirement/Termination Procedures" described in the following:

1. Faculty Members or Unclassified Professionals must submit a written notice of resignation to their budget officers. Resignations should be submitted by May 1 or within thirty days after appointment notices are mailed.
2. The Budget Officer fills out a Change of Status Form (Form OHR 121 obtainable from Faculty Records) and forwards the form to the Budget Review Officer. (No position may be advertised until this form is completed and Affirmative Action procedures have been followed.)
3. When the Change of Status form is received in Academic Affairs, Academic Affairs (1) will notify the faculty member or unclassified professional of the Resignation/Retirement/Termination Procedures, (2) will notify the appropriate units of the change of status, and (3) will have the Controller's Office complete form A1 and return it to Academic Affairs.
4. The Faculty Member or Unclassified Professional should schedule an exit interview with Academic Affairs. At this meeting the faculty member or unclassified professional needs to do the following:
  - a. Certify that Form A1 is accurate, turn in keys (or follow designated college/school/University Libraries procedure), Corporate American Express Card, and Telephone Card (PIN number).
  - b. Complete Form A2 for Human Resources. (A separate appointment should be made with Human Resources to discuss benefits, retirement, health care, etc.)
  - c. Complete Exit Interview Form A3. (Responses will be shared with the College/School/University Libraries Dean and the Department Chair unless the faculty member or unclassified professional

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requests confidentiality.)

### **5.8 / Financial Exigency**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch4\\_24.htm](http://webs.wichita.edu/inaudit/ch4_24.htm)*

#### **5.81 / Financial Exigency Background**

Recent higher education enrollment trends have made educators increasingly aware of the need to anticipate possible needs for budget and staff reductions (known commonly as retrenchment) by developing orderly procedures for making such reductions. Like governing boards in many other states, the Kansas Board of Regents recognized that advance planning for such contingencies would serve the best interests of everyone in the academic community; it adopted, on September 21, 1979, the following definition of financial exigency for the Regents' system:

**Definition:** Financial exigency is the formal recognition by a Regents' institution that prior reductions in budget or authorized number of positions have required the elimination of nontenured positions and operating expenditures to such a point that further reductions in these categories would seriously distort the academic programs of the institution; hence, further budget or position reductions would require the nonreappointment of tenured members of the faculty or the failure to meet the standards of notice for nonreappointment of faculty. It is not a requirement of financial exigency that all nontenured positions throughout the University be first eliminated.

**Procedure:** It shall be the responsibility of the chief executive officer of each Regents' institution, in consultation with appropriate campus groups, to develop a plan for reductions in personnel as necessitated by conditions of financial exigency.

In the event that financial conditions at a Regents institution may warrant the declaration of financial exigency, the chief executive officer shall notify the Board of that fact and shall provide a complete statement of the circumstances that may warrant the declaration of financial exigency. The statement shall also include a review of all reasonable alternatives to financial exigency. If the Board and the chief executive officer concur as to the existence of a financial exigency, it shall be the responsibility of the chief executive officer to so declare.

In response to the Regents' action, the faculty of The Wichita State University adopted a document entitled, "Policies and Procedures for the Reduction of Unclassified Staff for Reasons of Financial Exigency" on September 15, 1980.

#### **5.82 / Policies and Procedures for the Reduction of Unclassified Staff for Reasons of Financial Exigency**

**Preface:** The document, which represents ongoing faculty review in the area of financial exigency, is devised to provide an operational plan if sharply declining enrollments should lead the University President to declare a state of financial exigency at WSU. From the beginning it was agreed that advance study and plans would relieve some of the personal, departmental, and college/school/University Libraries conflicts which might be expected to occur with the sudden declaration of financial exigency. Effort has been made to consider the welfare of the University and its programs, as well as the most humane treatment possible for faculty members who have served it. The original document was approved by the University Senate on May 4, 1976, after nearly two years of faculty deliberation. The following procedures are to provide a formal process of retrenchment proceedings prior to and during a period of financial exigency.

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**I. Committee Structure.** The following committees shall be selected each year for three-year rotating terms and elect their own chairs:

A. College/School/University Libraries Advisory and Appeals Committees for Retrenchment.

1. Each college/school/University Libraries shall select a committee of its faculty according to the same procedures it uses to select its Tenure and Promotion Committee, or by other similar procedures adopted by the faculty, except that:

a. Administrators, as defined by the Faculty Senate Constitution

(<http://webs.wichita.edu/senate/handbook/FSConstitution-rev-1-05.html>) shall not be members of this committee

b. An affirmative-action representative of the college/school/University Libraries shall be a non-voting member of the committee

B. The University Advisory and Appeals Committee for Retrenchment. The University Retrenchment Committee shall comprise the chairs of each college/school/University Libraries retrenchment committee, the University Affirmative Action Officer (or representative) as a non-voting member, and a representative of the Student Government Association.

1. Hereafter, the term "college/school/University Libraries committee", shall refer to this committee as well as those defined in I/A/1.

C. Functions of the College/School/University Libraries Committees:

1. To regularly review the status of the college/school/University Libraries and its various departments in relation to those aspects relevant to possible financial exigency.

2. To participate in preventive planning prior to a declared exigency.

3. To review college/school/University Libraries and departmental plans for retrenchment should a declaration of financial exigency be necessary.

4. To serve as an appeals committee as described in section IV/K.

D. Functions of the University Committee:

1. To regularly review the status of the University and its component parts in relation to those aspects relevant to possible financial exigency.

2. To participate in preventive planning for the University prior to a declared exigency.

3. To review University and college/school/University Libraries plans for retrenchment should a declaration of financial exigency be necessary.

4. To serve as an appeals committee as described in section IV/M.

## **II. Preventive Planning during a non-crisis period.**

A. In that faculty involvement is imperative in a declared exigency, it follows that preliminary participation is important. Such involvement will serve the dual purpose of uniting the forces of faculty and administration in achieving and maintaining university strength and of minimizing the corrosive effects of declining enrollments. Systematic planning should consider the following approaches:

1. Biannual review of the current status and future projections for the University by the President and/or Vice President for Academic Affairs and Research with the University Committee and others as appropriate.

2. The chair of the University Committee shall be involved regularly in discussions with the university administration regarding university financial status and especially at times of budget hearings.

3. Such approaches as the following should be actively reviewed and instituted by administration whenever feasible:

a. Considerations of policies for early retirement or semi-retirement status.

b. Consideration of further utilization of shared positions.

c. Assessment of faculty skills in functional areas as well as areas of specialization to facilitate possible reassignment of faculty members.

d. Retraining of faculty for alternative positions.

e. Development of additional curricular offerings to expand enrollment without jeopardy to existing programs.

f. Any other potential means for avoiding loss of faculty expertise.

*[Note: This section reflects the AAUP document on "The Role of Faculty in Budgetary and Salary Matters," (1972).*

### **III. Restrictions and Guidelines on Termination for Reasons of Financial Exigency**

#### **A. Prima Facie Restrictions.**

Each of the following restrictions expresses a reasonable expectation about the criteria that will be used to select those persons to be terminated for reasons of financial exigency; but it is possible, even likely, that on occasion these restrictions shall conflict with one another and that on these occasions one or more of them will have to be violated. All parties contributing to programs of retrenchment constructed under Part IV of this document are enjoined to adhere to these restrictions to the fullest extent possible and to deviate from them only to the extent required by the best interests of the university. Any report at any level recommending the termination of any individual in such a way as to violate any of these restrictions must be accompanied by a full explanation of the reasons for such a recommendation.

1. Termination should not be made in any way which would prevent any unit of the university from performing the tasks appointed for it

2. Any terminations in any given unit which are based on the decreasing demand for the services of that unit should be based on services over no less than a three year period.

3. Terminations within a given department or unit should ordinarily be made according to rank (lecturers and graduate assistants first), followed in order by assistant instructors, instructors, assistant professors, associate professors, professors, and within rank according to years of service at the university at that rank. The appointment of a faculty member with tenure will not be terminated in favor of retaining in that department a faculty member without tenure, except in extraordinary circumstances where a serious distortion of the academic program would otherwise result.

4. Terminations should be made in such a way as to maximize compliance with the university's obligations to affirmative action guidelines.

5. Administrative terminations should be made in the same proportion as faculty terminations.

#### **B. Mandatory Guidelines on Termination of Staff for Reasons of Financial Exigency.**

1. If the University, because of financial exigency, terminates appointments, no new state funded positions will be established except in extraordinary circumstances where a serious distortion in the academic program would otherwise result. The appointment of a faculty member with tenure will not be terminated in favor of retaining within the department a faculty member without tenure, except in extraordinary circumstances where a serious distortion of the academic program would otherwise result. The existence of "extraordinary circumstances" shall be determined by the University Retrenchment Committee. The appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure in another unit of that college/school/University Libraries, if the tenured faculty member can establish with the College/School/University Libraries Retrenchment Committee that he is at least as qualified for the position as the untenured faculty member.

2. Except in the utmost emergency, which could not have been foreseen, the standards of due notice of non-reappointment stated in the Handbook for Faculty shall not be violated.

3. In all cases of termination of appointment because of financial exigency, the place of the tenured faculty member concerned will not be filled by a replacement within a period of three years, unless the released faculty member has been offered reinstatement and a reasonable time (not to exceed 60 days) in which to accept or decline it.

4. Any tenured faculty member chosen for termination on the grounds that he/she is less competent in performance than someone who otherwise would have been terminated instead, must be terminated according to the procedures for dismissal for cause.

5. If a dean recommends a retrenchment program requiring the elimination of a department or a degree or certificate program, it may not be approved either by a College/School/University Libraries Retrenchment Committee or by the University Retrenchment Committee unless the elimination of the program has been approved by the faculty of the college/school/University Libraries in which the department or program is located. Approval of the faculty is defined as a majority of the college/school/University Libraries faculty casting votes, provided that that number also constitutes a

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majority of a quorum of the faculty of that college/school/University Libraries. (This document states the possibility and conditions of a retrenchment committee's being overruled by a dean or by the President. Hence, this wording in no way confers a veto power on the elimination of departments to the faculty.)

### **IV. Procedures to be followed when a State of Financial Exigency has been Declared by the President of the University.**

A. The President shall announce to the deans and the University Retrenchment Committee that he/she has declared a state of financial exigency for the University and the proposed plan for,

1. The number of positions to be eliminated from the central administrative staff of the university,
2. The number of positions to be eliminated from each college/school/University Libraries, and
3. The calendar for procedures to determine cutbacks.

B. The University Committee will

1. Review the entire program of retrenchment for the university to see that it conforms with the restrictions and guidelines (Part III),

2. Consult with the deans concerning the proposed retrenchment program and

3. File with the President and the deans any changes it recommends in the retrenchment program and the committee's reasons for those changes.

C. After reviewing the university committee recommendations, the President will send to the deans and the University Committee a copy of the final university retrenchment program and reasons for any departures from the University Committee's recommendations.

D. The dean, after consultation with the college/school/University Libraries committee, shall announce:

1. The number of positions provisionally to be eliminated from the administrative staff.

2. The number of faculty positions provisionally to be eliminated from each department.

E. The chair of each department shall consult with the tenured faculty of that department, or a representative committee thereof, according to the procedures used in the making of recommendations for tenure, and shall then provide the dean in writing:

1. Any evidence that serious programmatic difficulties would result from the proposed retrenchment in the department or other departments or colleges/schools/University libraries.

2. Recommendations of the department concerning the particular individuals to be terminated, including the reasons for those recommendations.

F. The dean shall, in consultation with the college/school/University Libraries retrenchment committee and taking into account the written arguments from department chairs,

1. Design a program of retrenchment designating each faculty member to be terminated, containing explicit reasons for the termination of any tenured faculty member, or for any deviation from restrictions in Part III or college/school/University Libraries restrictions and guidelines

2. Inform each department chair of:

a. The particular individuals designated for termination from that department

b. Any reasons explicitly stated in the college/school/University Libraries retrenchment program for the selection of those individuals

c. The number of persons designated for termination from other departments and from the administrative staff

3. Inform in writing each person designated for termination of his/her status, of any reasons explicitly stated in the college/school/University Libraries retrenchment program for his or her designation for termination, and of the right to appeal.

4. Present the entire program of retrenchment, including chair's recommendations, to the college/school/University Libraries retrenchment committee.

G. The College/School/University Libraries Retrenchment Committee shall:

1. Maintain confidentiality with respect to the names of individuals designated for termination to the extent permitted for the adequate fulfillment of its charge

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2. Hear any appeals from tenured or probationary staff according to the definitions of charges and procedures given in Part V

3. Report its findings to the dean and to the appellant

H. The dean shall take appropriate actions on the committee recommendations concerning appeals from IV/B, and report to the committee any modifications he/she wishes to make. He/she shall also report these changes to the appropriate chairs and individuals as in IV F/2-3.

I. The College/School/University Libraries Retrenchment Committee shall:

1. Review the entire program of retrenchment for the college/school/University Libraries to see that it conforms to college/school/University Libraries restrictions and guidelines, if any, and the restrictions and guidelines in Part III of this document

2. Consult with the dean concerning the proposed retrenchment program

3. File with the dean any changes he or she recommends in the retrenchment program and the committee's reasons for those changes.

J. The dean shall modify the college/school/University Libraries retrenchment program as he or she deems appropriate in the light of the committee recommendations, and shall:

1. Inform the College/School/University Libraries Retrenchment Committee of the changes he or she has made, and of the reasons for not accepting any committee recommendations that were rejected;

2. Inform each department chair of:

a. The particular individuals from that department designated for termination in the modified retrenchment program

b. Differences between the dean and the college/school/University Libraries committee concerning individuals to be terminated from that department,

c. His or her reasons for rejecting the recommendations in section J/2/b

3. Inform in writing each individual designated for termination in the modified retrenchment program of the Dean's reasons, if the College/School/University Libraries Committee does not concur in that designation, and of any right to appeal. The procedures are designated to allow each faculty member only one opportunity to appeal if that appeal.

K. The College/School/University Libraries Retrenchment Committee will:

1. Hear appeals from any tenured or probationary staff designated for termination in the modified retrenchment program of any college/school/University Libraries but not designated for termination in the original retrenchment program of that college/school/University Libraries.

2. Report its findings to the appropriate dean and the faculty member

L. The Dean shall present a report of the college/school/University Libraries retrenchment program to the Vice President for Academic Affairs and Research who shall transmit these reports to the deans of the other colleges/schools/ University Libraries. This report to include:

1. The modified retrenchment program of the college/school/University Libraries, together with supporting arguments,

2. Copies of all recommendations from chairs, together with supporting arguments

3. A list of all recommendations from the College/School/University Libraries Retrenchment Committee that were not accepted, together with the committee's reasons for those recommendations and the dean's reason for rejecting them.

M. The University Retrenchment Committee shall:

1. Hear any appeals, according to the definitions of charges and procedures given in Part V, from any member of the central administrative staff of the University designated for termination by the Vice President for Academic Affairs and Research

2. Hear any appeals from faculty members who do not have a designated college/school/University Libraries channel for redressing grievances (only one opportunity for appeal is permitted)

3. Hear appeals from any college/school/University Libraries based on programmatic impact in that college/school/University Libraries of decisions made in other colleges/schools/University Libraries

4. Recommend to the Vice President for Academic Affairs and Research appropriate procedures for redress of any appeals it upholds from M/1-2-3

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N. The Vice President for Academic Affairs and Research shall act on the recommendations, if any, from University Retrenchment Committee

O. The Vice President for Academic Affairs and Research shall transmit to the President:

1. The complete report on retrenchment from each college/school/University libraries
2. His or her recommendation for terminations from the central administrative staff of the university
3. The recommendations of the University Retrenchment Committee concerning central administrative staff appeals
4. His or her own responses concerning the recommendations of the University Retrenchment Committee.

P. The President shall, in consultation with his or her staff:

1. Construct a program of retrenchment for the University
2. Notify the University Retrenchment Committee of the entire program, and of his or her reasons for any deviations from recommendations of the University Retrenchment Committee
3. Notify each dean of:
  - a. Any changes he or she has made in the modified retrenchment program presented by the dean
  - b. His/her reasons for those changes
4. Notify each department chair of:
  - a. The individuals to be terminated from that department
  - b. His or her reasons for any terminations not recommended by the College/School/University Libraries Retrenchment Committee
  - c. The numbers of individuals to be terminated from other departments of that college/school/University Libraries
5. Notify each individual to be terminated or his or her right to appeal

Q. The appropriate College/School/University Libraries Retrenchment Committee (for central administrative staff, the University Retrenchment Committee) shall hear appeals according to definitions of charges and procedures given in Part V, from any tenured or probationary faculty member who is designated for termination in the report of the President and has not had prior opportunity to appeal his or her designation for termination.

R. The President shall act on any upheld appeals and notify the appellants.

### **V. Appeals Procedures.**

Sections G, K, M and Q of Part IV of this document describe conditions under which a member of the unclassified staff may appeal a decision to designate him/her for termination. All appeals from probationary and tenured faculty members will go to their College/School/University Libraries Advisory and Appeals Retrenchment Committee and appeals from central administrators will go to the University Retrenchment Advisory and Appeals Committee. Such a staff member, hereinafter referred to as the appellant, shall file his/her appeal with the chair of the committee described in the section under which the appellant is appealing, hereinafter referred to as the Appeals Committee, basing his/her appeal on the charges described in the following:

A. If the appellant alleges that a decision not to reappoint him/her was based significantly on considerations that violate (1) academic freedom or (2) governing policies precluding prejudice with respect to race, sex, religion, national origin, handicap, age, or Vietnam era veteran status, the allegation shall be given preliminary consideration by the Appeals Committee which shall seek to settle the matter by informal methods. The allegation shall be accompanied by a statement that the appellant agrees to the presentation, for the consideration of the committees hearing the appeals, of such reasons and evidence as the institution may allege in support of its decision. If the difficulty is unresolved at this stage, and if the committee or the faculty member so recommends the matter will be heard in the manner set forth in Regulations 5 and 6 of the 1972 AAUP Recommended Institutional Regulations on Academic Freedom and Tenure, except that the appellant is responsible for stating the grounds on which he bases his/her

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allegations, and the burden of proof shall rest on him/her. If the appellant succeeds in establishing a prima facie case, it is incumbent upon those who made the decision not to reappoint him/her to come forward with evidence in support of their decision.

B. If the appellant alleges that the decision to designate him/her for termination was based on inadequate consideration, the Appeals Committee shall review the faculty member's allegation and shall determine whether the decision was the result of inadequate consideration in terms of the relevant standards of the university. The appeals Committee shall not substitute its judgment on the merits for that of those making the decision. If the Appeals Committee believes that adequate consideration was not given the appellant's qualifications, it will request reconsideration by those who made the decision to designate the appellant for termination, indicating the respects in which it believes the consideration may have been inadequate. The Appeals Committee shall provide copies of its findings both to the appellant and to those who made the decision to designate the appellant for termination.

*These procedures are adapted from sections 10 and 2f, respectively, of the 1972 AAUP Recommended Institutional Regulations on Academic Freedom and Tenure of the American Association of University Professors.*

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### Wichita State University

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**CHAPTER 6 / RESEARCH and SPONSORED PROGRAMS**

*Revisions accepted by the General Faculty 5-10-05*

*WSU Policies & Procedures –[http://webs.wichita.edu/inaudit/ch\\_9.htm](http://webs.wichita.edu/inaudit/ch_9.htm)*

- 6.1 / University Supported Grants
- 6.11 / University Supported Grants - URG
- 6.12 / Faculty Summer Research Awards - FSRA
- 6.2 / University Ownership
- 6.21 / Patent Policy
- 6.22 / Copyright Procedures
- 6.23 / Subvention Policy
- 6.3 / Policy on Research Involving Human Subjects
- 6.4 / Misconduct in Research
- 6.5 / Intellectual Property

**6.1 / University Supported Grants**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch9\\_05.htm](http://webs.wichita.edu/inaudit/ch9_05.htm)*

The University supports faculty research, scholarship, and creative activity with resources made available for allocation through the Faculty Support Committee, a committee of the Faculty Senate. This committee is composed of graduate faculty members representing each of the eight faculty divisions and Academic Services, the Vice President for Academic Affairs and Research, and the director of ORA.

Two competitive grant programs are available for tenured and probationary faculty members. The University Research/Creative Projects Award (URCA) program is intended to assist new probationary faculty in initiating research, and other faculty in re-establishing a productive research agenda. Up to \$4,500 may be granted for a successful proposal. Summer support is possible through the Award for Research/Creative Projects in Summer (ARCS) program, which provides a stipend of \$3,000 to enable faculty to devote full-time for two consecutive summer months to pursue research. Both grant programs are meant to stimulate the development of proposals for external funding in appropriate disciplines. Complete information on these programs, including material to be submitted and deadlines, can be obtained from ORA. Awards are made by the Vice President for Research based on recommendations from the Faculty Support Committee, and are subject to the availability of funds.

All University-supported research projects are administered in accordance with established fiscal procedures and research policies, including those relating to patents, animal care,

**6.11 / University Research Grants (URG.)**

The UG. awarded by ORA on a competitive basis, are relatively small grants intended to assist (1) new probationary (tenure eligible with less than 2 years of service) faculty in initiating their research programs at WSU and (2) other faculty (over 2 years of service) in retooling or reestablishing a productive research agenda. In either category, it is expected that with the help of these grants the awardees will generate publishable and/or vital data on which proposals can be developed for submission to extramural agencies to seek funds for their research programs.

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All applications will be reviewed by the Senate Faculty Support Committee. The applicants are urged to avoid highly specialized terminologies and/or language in their proposals.

All tenured and probationary faculty members of WSU are eligible to apply. In the case of a faculty member applying for a second award within a 5 year period, the evidence of productivity and/or extramural grantsmanship following the first award (both attempts and successes) will play a heavy role in the award decision. Those who receive a University Research Grant during the last three years, as well as temporary and visiting faculty, are ineligible. Also, one may receive either a summer award or a research grants in a fiscal year, but not both.

The deadline for the receipt of all applications in ORA is the second Monday in October. Award for new faculty (less than 2 years service) are announced by mid December and are effective from January 1 to June 30 of the following calendar year. Awards for other faculty (over 2 years service) are announced by the following mid-February to be effective for the following fiscal year beginning July 1 or thereafter

hazardous materials, and human subjects. The ORA provides necessary management assistance and related services for University grant recipients.

### **6.12 / Faculty Summer Research Awards (FSRA)**

The FSRA us a stipend of \$3000 awarded competitively to encourage faculty to devote full time in summer month to pursue their research and/or scholarly activity. Up to \$1000 additional funds may be provided to cover other operating expenses, if adequately justified. No equipment or student assistance can be requested. The Senate Faculty Support Committee will review the applications. This committee is composed of faculty members from diverse fields. Applicants are, therefore, advised to write proposals in a language that avoids highly specialized terminology and treatment. If totally unavoidable, a suitable explanation should be provided for the terminology used.

All tenured or probationary faculty holding no more than a 10-month appointment are eligible. No recipient may teach or hold any other concurrent appointment or employment at WSU or elsewhere during the summer months. Those who receive a FORA during the last three years, as well as temporary and visiting faculty, are ineligible. Faculty who accept a summer award from their college/school/University Libraries are not eligible for a summer award from the University during that summer. Also, a faculty member may receive either a summer award or a research grant in a fiscal year, but not both.

The deadline for receipt of applications in the Office of Research Administration (ORA) is the second Monday of December. The awards will be announce by mid-February of the following calendar year.

### **6.2 / University Ownership**

*WSU Policies and Procedures - [http://webs.wichita.edu/inaudit/ch9\\_09.htm](http://webs.wichita.edu/inaudit/ch9_09.htm)*

All books and materials purchased with grant or contract funds become the property of the University. These items should be held by the principal investigator during the operation of the project. At the conclusion of a project or if the principal investigator leaves the University, all books and materials purchased with grant and contract funds must be transferred to either the appropriate academic department or the University Library.

Any equipment items purchased or acquired during an externally-funded project must be inventoried as University property. In most cases, the equipment will become the property of WSU at the conclusion of

the project, although some grants and contracts may include specific provision for the return of the equipment to the granting agency. If grant or contract-acquired equipment becomes the University property, it is transferred to the inventory of the appropriate academic department and its use will be determined by normal department procedures. If a faculty or staff member leaves the employment of WSU, no equipment may be taken from the campus without prior approval of the Vice President for Administration and Finance.

### **6.21 / Patent Policy**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch9\\_11.htm](http://webs.wichita.edu/inaudit/ch9_11.htm)*

Any faculty member believing that an invention developed from a research project sponsored by the University should be patented, must report that information in a letter to the director of the ORA who in turn will forward it to the Faculty Support Committee for review and action. The Committee will decide if the University should file a patent application or if the project does not warrant patenting. In the latter case, the invention will be returned to the inventor who is free to file a patent. If that is done, the University will continue to maintain its position that the results of the research should be freely available to the public. The Board of Regents Handbook should be consulted for more information on patent policy.

### **6.22 / Copyright Procedures**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch9\\_12.htm](http://webs.wichita.edu/inaudit/ch9_12.htm)*

When a product to be copyrighted is the result of full or partial support from a public or private agency through a grant or contract administered by ORA, the principal investigator shall report this intent to the director of ORA. This office is the agent of the University that represents a sponsored project to a granting agency in all cases. It is the legal responsibility of ORA to insure that both the external agency and the person wishing to copyright are fairly represented. ORA can provide information concerning the copyright policies of external agencies, contracts with publishers in which copyrights are involved, and copyrighting in general. Although the publication of journal articles or single chapters in books is exempt from the above reporting procedure, appropriate credit must always be given when state, federal, or private support has been received. The University's copyright policy is available from ORA or the Office of Academic Affairs.

### **6.23 / Subvention Policy**

*WSU Policies & Procedures [http://webs.wichita.edu/inaudit/ch2\\_12.htm](http://webs.wichita.edu/inaudit/ch2_12.htm)*

It is the policy of Wichita State University to encourage publication of books authored or co-authored by members of the faculty in fulfillment of the responsibility to engage in scholarly activity. To that end, recognizing the increased frequency of requests by publishers for subventions, the Wichita State University may in some circumstances provide subventions from non-state funds to aid members of the faculty engaged in substantive negotiations with publishers. The University reserves the right to recover the sum of the subvention when such recovery is possible.

#### I. Eligibility

A. Subvention may be requested by an author(s) who is full-time tenured or probationary member of the faculty of WSU.

B. If a member of the faculty co-authors a book with a member(s) of the faculty of another institution (s), the institution(s) shall negotiate concerning shared responsibility for subvention.

#### II. Application Procedures

A. The author(s) shall prepare a written request for subvention, and include a letter from the editor

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stating that the book has undergone professional evaluation and that substantive negotiations are under way.]

B. The application must be submitted to the appropriate department chair(s) for review and approval. If approved, the chair(s) submits the application, with a letter of approval, to the dean(s) for review and approval. If approved, the dean(s) will submit the application, the chair(s) approval letter and his/her own letter of approval to the Faculty Support Committee.

C. The Faculty Support Committee shall evaluate the proposal for the relevance of the book to the area or areas of expertise of the author(s), the scholarly merits of the book, and the quality of the press. The committee may invite an additional reviewer(s) to participate in the discussion of the merits of the book or of the press. If the committee approves the application, it will be transmitted to the Vice President for Academic Affairs and Research, along with a letter of recommendation, for final action.

D. Should the application be rejected at any level, the author(s) will receive an explanation in writing. The applicant(s) may seek a review of a negative recommendation by the Faculty Support Committee from the Vice President for Academic Affairs and Research.

E. Should the application be approved, the Vice President for Academic Affairs and Research or her/his designee will negotiate with the author(s) and the publisher. An agreement stating the exact terms of the subvention, including the amount of the subvention and terms for recovery of that amount, when recovery is possible, will be added to the contractual record of the book by adding an addendum to the contract or by an exchange of letters of understanding added to that record.

### III. Recovery of Costs

A. The University shall recover the amount of its subvention, when recovery is possible.

B. If the University provides the entire subvention, it shall recover the sum of the subvention before the author(s) receives royalties.

C. If the University and the author(s) share in the subvention, the University shall receive a share of the royalties proportional to its share, until the amount of the University's contribution to the subvention has been recovered.

### IV. Taxation

The author(s) acknowledges and agrees that s/he will be solely responsible for any and all tax consequences which may result or arise as a result of the payment of subvention support.

### V. Acknowledgment

The author(s) shall acknowledge the University's subvention in the preface, introduction, or acknowledgments.

## **6.3 / Policy on Research Involving Human Subjects**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch9\\_17.htm](http://webs.wichita.edu/inaudit/ch9_17.htm)*

Upon the recommendation of the University Research Publication Committee, (now the Faculty Support Committee [7-88]) the Faculty Senate adopted general policies and procedures for the clearance of research involving human subjects. These policies and procedures are consonant with those of the federal government and include research done by faculty and/or WSU students. The policies and procedures are aimed at safeguarding the rights and welfare of the subject, the investigator, and the University.

In general, "subjects at risk" are involved. This phrase is interpreted to mean "any individual who may be exposed to the possibility of injury, including physical, psychological, or social injury, as a consequence of participation as a subject in any research, development, or related activity which departs from the applications of those accepted methods necessary to meet his/her needs, or which increases the ordinary risks of daily life, including risks inherent in a chosen occupation or field of service."

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Responsibility for review of all research involving human subjects has been placed with the Institutional Review Board with secretariat in the ORA. At least nine persons representing varying backgrounds related to the research activities of the University, including at least one person from a non-scientific area such as the law or ethics and one person who is not affiliated with the University, serve on the Board. To discover whether the proposed research requires filing a protocol statement with the Institutional Review Board, the principal investigator should contact the ORA.

Details concerning the format for the protocol statement and other matters pertaining to research involving human subjects, including classes exempt from review, may be obtained from the ORA.

### 6.4 / Misconduct in Research

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch9\\_13.htm](http://webs.wichita.edu/inaudit/ch9_13.htm)*

**POLICY STATEMENT:** For the purposes of this policy, the definition of “misconduct in research” means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data. Standards of scholarly and creative conduct in nonscientific areas will be based on commonly accepted standards of those areas.

**PROCEDURE:** When a specific allegation is made in good faith or when evidence of possible misconduct in research is discovered, the Affirmative Action Officer shall immediately conduct an inquiry. Written notification of the allegation will be provided to the individual suspected and to the chief administrative officer in charge of research (henceforth referred to as the Research Officer). Information will be gathered to determine whether an allegation or apparent instance of misconduct warrants an investigation. To the maximum extent possible, the privacy of those who in good faith report apparent misconduct will be protected. The inquiry will be conducted in such a way as to provide the affected individual(s) confidential treatment, a prompt and thorough investigation, and an opportunity to comment on all allegations and findings of the inquiry and/or allegations.

An inquiry must be completed within 60 days of its initiation unless circumstances clearly warrant a longer period. A written report shall be prepared by the Affirmative Action Officer that summarizes the evidence reviewed and relevant interviews, and states the conclusions of the inquiry. The individual(s) against whom the allegation was made shall be given a copy of the report of the inquiry. If suspected individual(s) comment(s) on the report, those comments will be made part of the record. If the inquiry takes longer than 60 days to complete, the suspected individual and the Research Officer will be notified in writing and the record of the inquiry shall include documentation of the reasons for exceeding the 60-day period.

If the Affirmative Action Officer's inquiry does not substantiate the allegation, the written report and supporting files will be kept for three years in a secure location designated by the Research Officer and then destroyed. For projects funded by the Department of Health and Human Services (DHHS), copies of the report will be given to authorized DHHS personnel upon their request.

If the Affirmative Action Officer's inquiry does uphold the allegation, the Affirmative Action Officer will submit a written report on the inquiry to the Research Officer for initiation of an investigation. The investigation will commence within 30 days of the completion of the inquiry and will be completed in totality within 120 days of commencement. If federally funded research is involved, a written report will be made to the appropriate federal agency on or before the date the investigation begins. All investigations of DHHS funded research or other federally funded research must comply with pertinent regulations issued by the respective federal agency.

## CHAPTER 6 / RESEARCH and SPONSORED PROGRAMS

The Research Office in consultation with the President of the Faculty Senate and the Vice President for Academic Affairs and Research (VPAAR) will appoint an ad hoc committee of not fewer than three members chosen for their objectivity and competence to conduct an investigation. The investigation shall provide for due process for the suspected individual. The ad hoc committee will be responsible for:

1. Examining all documentation relevant to the allegation and conducting interviews with individuals involved in the allegation,
2. Securing necessary expertise to carry out the evaluation of the relevant evidence,
3. Taking precautions against real or apparent conflicts of interest on the part of those involved,
4. Preparing and maintaining the documentation necessary to substantiate the investigation's findings,
5. Ensuring confidentiality of all proceedings, documentation and records of the investigation unless this confidentiality is waived in writing by the accused, and
6. Making a final recommendation to the Research Officer as to validity of the allegation.

**RESOLUTION:** If the investigation does not substantiate the allegation, no further action will take place and the suspected individual will be notified in writing of the findings. Records from the investigation will be retained in a secure location designated by the Research Officer for three years and then destroyed.

If the investigation supports the allegations, the Research Officer will notify the VPAAR who will make a determination as to whether the case should be the basis for dismissal for cause as provided for in the Faculty Handbook, or if other appropriate sanctions will be imposed. Documentation associated with a substantiated investigation will be retained by the University and a summary of the actions of the VPAAR will be placed in the individual's personnel record. The University will undertake to protect at all times the professional reputation of individuals accused of scientific misconduct and to protect the positions and reputations of those persons who, in good faith, make allegations.

When DHHS funded research is involved, a final report of the investigation will be sent to the Office of Scientific Integrity. If, at either the inquiry stage, or the investigation stage involving DHHS funded research, the inquiring Affirmative Action Officer or investigating committee believe that there are reasonable indications of possible criminal activity, this will be reported to the VPAAR who will report it to the Office of Scientific Integrity within 24 hours of receipt. Other misconduct investigations concerning federally funded research will be reported as required by the granting agency.

### **6.5 / Intellectual Property**

**WSU Policies & Procedures** – [http://webs.wichita.edu/inaudit/ch9\\_10.htm](http://webs.wichita.edu/inaudit/ch9_10.htm)

#### **Preamble:**

The purpose of the Wichita State University Intellectual Property policy is to foster the free and creative expression and exchange of ideas and knowledge; to preserve traditional academic practices and academic freedom with respect to scholarly and creative/artistic work; and to establish principles and procedures for distributing income from copyrightable and patentable research. This policy applies to all full-time, part-time, and student employees.

For the purposes of this policy, “work-for-hire” is defined as scholarly and creative/artistic activity that either is supported by a direct allocation of institutional funds for a designated project, is expressly commissioned by the University, or is otherwise subject to specific contractual obligations. “Substantial use” means that the creator receives from the University either more than normal support for the work or time and/or resources specifically dedicated to the project.

When revenues are to be shared pursuant to this policy, unless otherwise negotiated, the creator(s) shall obtain his/her share only after the University has recouped any direct costs incurred for equipment and materials and costs paid to third parties. The portion of the revenues to be shared among creators shall be shared equally, unless otherwise negotiated.

### **Policy Statement:**

#### **1. General Copyright Policy**

The ownership associated with copyright is dependent upon the specific type of intellectual property and federal law. The University shall assert limited ownership rights as set forth below. Since the University has a fiduciary responsibility for the appropriate use of state funds, unless otherwise provided for under this policy, all rights associated with works-for-hire or other works that make substantial use of institutional resources belong to the University.

#### **2. Scholarly and Creative/Artistic Works**

Notwithstanding any use of University resources or the work-for-hire principle, the ownership of scholarly and creative/artistic works remains with the creator(s). Any revenue derived from such work belongs to the creator(s). If requested by the University, the creator(s) shall seek permission to provide the royalty-free right to manuscripts published in professional journals for use solely within the University’s teaching, research and service programs.

#### **3. Student Academic Creations**

The ownership of student works submitted in fulfillment of academic requirements remains with the creator(s). The student, by enrolling at Wichita State University, gives the University a nonexclusive royalty-free license to use and retain the work for instructional purposes. The University shall not have the right to use the work in any other manner without the written consent of the creator(s).

#### **4. Mediated Courseware**

(a) The University shall assert limited rights to mediated courseware (that is, course materials disseminated through electronic media). Self-initiated courseware, developed without a specific work-for-hire contract, shall remain the property of the creator(s), unless otherwise negotiated; provided, however, that no royalty, rental fee, or other consideration shall be paid to the creator(s) when that mediated courseware is used for instruction at Wichita State University. Such mediated courseware shall not be used or modified without the consent of the creator(s), nor shall it be sold, leased, rented, or otherwise used in a manner that competes in a substantial way with the for-credit offerings of Wichita State University, unless otherwise negotiated.

(b) Mediated courseware developed as a specifically contracted work-for-hire, unless otherwise negotiated, shall be the intellectual property of the University. In such cases, when the University expressly directs the creation of mediated courseware and provides materials and time to develop the

mediated courseware, the University shall reserve the right to revise and decide who will utilize such mediated courseware for instructional purposes.

### **5. Patent and Copyrightable Software Policy**

Unless otherwise negotiated by the creator(s) and the University, patents obtained on inventions or copyrightable software resulting from University-sponsored research with an actual or projected market value in excess of \$10,000 annually, shall be retained by the University or may be assigned to an organization (hereinafter called "the Organization") independent of the University and created for the purpose of obtaining, administering, or disposing of patents; receiving gifts; and promoting research and the development of intellectual property. Unless otherwise negotiated, these guidelines shall be followed with respect to inventions or copyrightable software:

- (1) Anyone who develops, under the sponsorship of a University-funded research project, an invention or copyrightable software that is not included in mediated courseware, shall report the matter to the Vice President for Academic Affairs and Research, or his/her designee.
- (2) If the University or the Organization decides, in a timely fashion, that the invention does not warrant patenting, the inventor is free to patent it. If the University or the Organization decides, in a timely fashion, not to further the use of copyrightable software, it shall assign the rights therein to the creator(s). In such cases, however, the University does not relinquish its right to publish any of the data obtained in the research project.
- (3) When any revenue is obtained by or on behalf of the University from the development or assignment of any patent or copyrightable software, not less than fifty percent (50%) of revenues shall be paid to the inventor(s) or creator(s) after the University recoups costs as set forth in this policy.
- (4) The remainder of any revenues discussed in paragraph (3) above shall be used to sponsor further research and research-related activities within the University, although the University may permit the Organization to retain a portion of the funds.
- (5) In cases of cooperative research sponsored partly by an outside entity or individual(s), a written contract shall be made between the University and any such sponsor(s). This contract should include a statement substantially equivalent to the following:

"It is agreed by the parties to this contract that all results of experimental work, including inventions and copyrightable software, carried on under the direction of the University, belong to the University and shall be used and controlled so as to produce the greatest benefit to the public. It is understood and agreed that if patentable inventions or copyrightable software develop from this research and such inventions or software have commercial value, the sponsor(s) shall receive preferential consideration as prospective licensee(s), with a view to compensating said sponsor(s) in part for their assistance. It is further agreed that the name of the University shall not be used by any sponsor in any advertisement, whether with regard to the cooperative agreement or any other related matter without the advance and specific written authorization of the University."

- (6) In cases of a research project where it is proposed that all costs, including salaries, equipment, overhead, etc., are to be paid by an outside entity or individual(s), the sponsor(s) and the University shall negotiate the appropriate assignment of all patentable or copyrightable software rights.

(7) Changes in these guidelines shall be made by the University to conform to the laws and requirements of the United States government.

## 6. Disputes

Any disputes that arise under this policy shall be reviewed by the Faculty Support Committee. Final decisions on disputed matters will be made by the University President.

### **Implementation:**

This policy shall be included in the *WSU Policies and Procedures Manual* and shared with appropriate constituencies in the University.

The Vice President for Academic Affairs and Research shall have primary responsibility for publication and distribution of this University policy.

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## CHAPTER 7/ACADEMIC POLICIES AFFECTING STUDENTS

*Revisions accepted by the General Faculty 5-10-05*

- 7.1 / Student Academic Integrity
- 7.2 / Class Policies
  - 7.21 / Class Lists
  - 7.211 / Use of Cell Phones in Class
  - 7.22 / Instructor Attendance Obligation
  - 7.23 / Student Attendance Obligation--Absence Letters
- 7.3 / Examination Policies
  - 7.31 / Special Examinations and Re-examinations
  - 7.32 / Make-up Examinations
- 7.4 / Grading Policies
  - 7.41 / Basis of Grades
    - 7.411 / Definition of Grades
  - 7.42 / Midterm Grade Reports
  - 7.43 / Final Grade Reports
  - 7.431 / Finality of Grades
  - 7.44 / Change of Grades - Undergraduate
  - 7.45 / Change of Grades - Graduate
  - 7.46 / Grade Replacement
- 7.5 / Court of Academic Appeals
  - 7.51 / Procedures for Academic Appeals - Undergraduate
- 7.6 / Withdrawals
- 7.7 / Incompletes
  - 7.71 / Incompletes - Undergraduate
  - 7.72 / Incompletes - Graduate
- 7.8 / Teaching Loads
- 7.9 / Student Access to Faculty - Office Hours

### 7.1 / Statement on Student Academic Integrity

The following statements on academic honesty, including definitions of what constitute violations of classroom standards, are published in the Catalog:

Opportunities for learning at Wichita State University involve the students' rights to express their views and to take reasoned exception to the views of the faculty; to examine all questions felt to be appropriate to a course of study; to be protected from improper disclosure of their views and beliefs; to be examined in a fair and impartial manner; and to be treated with dignity and respect. Students are responsible, however, for learning the content of any course of study outlined by their instructors, regardless of any views or judgments privately held and for demonstrating their attainment in an honest manner.

Students who compromise the integrity of the classroom are subject to disciplinary action on the part of the University. Violations of classroom standards include:

1. Cheating in any form, whether in formal examinations or elsewhere,

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2. Plagiarism, using the work of others as one's own without assigning proper credit to the source,
3. Misrepresentation of any work done in the classroom or in preparation for class,
4. Falsification, forgery or alteration of any documents pertaining to academic records,
5. Disruptive behavior in a course of study or abusiveness toward faculty or fellow students.

A standard of honesty, fairly applied to all students, is essential to a learning environment. Students violating such standards must accept the consequences, and penalties are assessed by appropriate classroom instructors or other designated persons. Serious cases may result in discipline at the college/school/University Libraries or university level and may result in suspension or dismissal. Students accused of abridging a standard of honesty may protect themselves through established academic appeal procedures and are assured of due process and the right of appeal from accusations or penalties felt to be unjust.

*WSU Policies & Procedures, Student Code of Conduct: [http://webs.wichita.edu/inaudit/ch8\\_05.htm](http://webs.wichita.edu/inaudit/ch8_05.htm)*

### **7.2 / Class Policies**

#### **7.21 / Class Lists**

*WSU Policies and Procedures [http://webs.wichita.edu/inaudit/ch2\\_04.htm](http://webs.wichita.edu/inaudit/ch2_04.htm)*

The first official class list is available on the first day of classes, and on the 20th day. Students whose names are on the class list are officially registered. If a student's name does not appear on the list, he or she should be advised to contact the Registrar's Office immediately. Only students who are officially enrolled are permitted to attend class. Class lists are also available on Shocker One Stop.

#### **7.211 / Cell Phones Use in Class**

*WSU Policies and Procedures – [http://webs.wichita.edu/inaudit/ch2\\_14.htm](http://webs.wichita.edu/inaudit/ch2_14.htm)*

##### **Purpose:**

The purpose of this statement is to set forth University policy with regard to the use of cellular phones.

##### **Preamble:**

As a state educational institution of Kansas, Wichita State University must be concerned about the appropriate usage of state resources and about the safety of its employees and others who perform services for the University. With the increasing prevalence of cellular phone usage, this policy statement is intended to provide information and guidance about University expectations regarding such usage.

##### **Policy Statement:**

1. Usage of a state-provided cellular phone is a privilege and is provided to improve University operations and service and to enhance operating efficiencies. It is intended that a state-provided cellular phone be used for business purposes only.
2. Use of a state-provided cellular phone should not be a primary mode of communication, but should be used only when such usage is the most cost-effective way to conduct state business. The telephone card provided by the University is the preferred method for long distance communications.

3. Justification for a state-provided cellular phone is left to the determination of department heads or budget officers with the understanding that regular audits by the state of Kansas are to be expected. No University employee may approve his/her own service plan for a state-provided cellular phone.
4. More than minimal personal usage of a state-provided cellular phone without advance written authorization from the appropriate Vice President or the President is not allowed. Employees must confirm review of the monthly statement by signing the final page of the statement/invoice and will reimburse the University for all additional charges resulting from personal calls.
5. Misuse of a state-provided cellular phone will result in revocation of its use and forfeiture of the cellular phone.
6. Excessive use of a personal cellular phone for personal business during work hours is considered outside an employee's scope of employment.
7. Employees are not expected to use a personal cellular phone for official University business. Employees will not be reimbursed for the cost of using a personal cellular phone for official University business without the advance written authorization of the appropriate Vice President or the President.
8. Anyone operating a state-owned vehicle should not use a cellular phone while operating such vehicle.
9. Anyone using potentially hazardous equipment while working for the University should not use a cellular phone while operating such equipment.
10. Violation of this policy will be grounds for disciplinary action, up to and including termination. Such disciplinary action will be taken in accord with applicable University policies.

**Implementation:**

This policy shall be included in the *WSU Policies and Procedures Manual* and shared with appropriate constituencies of the University.

The Vice President and General Counsel shall have primary responsibility for publication, dissemination and implementation of this University policy.

**Effective Date:**

*June 6, 2003*

**Revision Date:**

*May 7, 2004*

**7.22 / Instructor Attendance Obligation**

*WSU Policies & Procedures* [http://webs.wichita.edu/inaudit/ch2\\_04.htm](http://webs.wichita.edu/inaudit/ch2_04.htm)

An instructor is obligated to meet classes at the scheduled time unless prevented by illness or unavoidable absence from campus. Anticipated absence from class must be reported to the department chair or the dean of the college/school/University Libraries prior to the meeting of the class; unanticipated absences must be reported upon the instructor's return to campus.

**7.23 / Student Attendance Obligation**

*WSU policies & Procedures* [http://webs.wichita.edu/inaudit/ch2\\_04.htm](http://webs.wichita.edu/inaudit/ch2_04.htm)

Students are expected to attend all classes in which they enroll, and faculty members are expected to

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monitor attendance. In cases of excessive absences, instructors may report the student's absence to the dean of the student's college/school/University Libraries.

### **7.3 / Examination Policies**

The following statements on examination policy reflect current general understandings and practices.

#### **7.31 / Special Examinations and Re-examinations**

Special examinations and reexaminations are given only in exceptional circumstances. A student registered with the Office of Disability services may request a special examination.

<http://webs.wichita.edu/?u=disserv&p=/index>

#### **7.32 / Make-up Examinations**

Students are allowed to make up major examinations, including the final examination, upon establishment of reasons for missing the examination satisfactory to the instructor.

#### **7.34 / Final Examinations**

Evaluation of student performance in a course should involve a major demonstration of mastery of the course material. This is traditionally accomplished through a final examination, although some instructors adopt alternatives to a final examination, such as a written paper in lieu of a final examination. Final examinations are given according to a schedule prepared by the Registrar's Office and published in the Schedule of Courses. A copy of the final examination schedule, together with a statement of the rules relating to final examinations, is sent to all faculty members several weeks before the final examination period. Final examinations are governed by the following rules:

1. The maximum time allowed for a final examination is as follows: 1-hour course, one hour; 2-hour course, two hours; 3-, 4-, and 5-hour courses, three hours. (In order to use three hours for the examination it would be necessary to start or continue one hour before or after the scheduled time.)
2. No final examination, or portion thereof, may be given at any time other than scheduled, unless such change is approved by the dean of the college/school/University Libraries and a classroom is available. A changed time would be approved only if it occasions no conflicts for any of the students involved.
3. No student may be required to take more than two final examinations on one day. Arrangements for a rescheduled final examination must be made by the student prior to the scheduled examination.

### **7.4 / Grading Policies**

*WSU Policies and Procedures* -- [http://webs.wichita.edu/inaudit/ch2\\_01.htm](http://webs.wichita.edu/inaudit/ch2_01.htm)

#### **7.41 / Basis of Grades**

All grades are determined by the instructor. The instructor, however, has an obligation to announce to the class at the beginning of the semester the basis for evaluating student performance. The right of students to protection against improper academic evaluation is set out in Article I, Section 2, of the Student Bill of Rights. Allegations of improper academic evaluation may be pursued through an academic appeals process, which ultimately involves a hearing before the Court of Academic Appeals Committee. If a decision of the court calls for a change of grade, the Registrar's Office is so advised, authorizing an official change.

#### **7.411 / Definition of Grades**

The grading system utilized at Wichita State University employs five basic letter grades, defined in the Catalog as follows:

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A Distinguished achievement. Credit given; four credit points per semester hour.

B Superior achievement. Credit given; three credit points per semester hour

C Average achievement. Credit given; two credit points per semester hour.

D Below average achievement. Credit given; one credit point per semester hour.

F Failing work. No credit hours earned toward graduation; zero credit points per semester hour, but counted as a course attempted and completed and included in computation of grade point average.

Courses numbered below 100 do not carry credit toward a Wichita State University degree and are graded Credit/No Credit (Cr/NCr). In addition, students may elect Cr/NCr during a special transition semester, and certain credit courses are designated in the course description in the Catalog as Cr/NCr. These grades are defined in the Catalog.

### **7.42 / Midterm Grade Reports**

Midterm grade reports ("*downs*") are an essential part of the process of identifying students who need academic help. In order for this identification process to succeed, and to improve the student retention rate, it is important that an instructor have a sufficient basis for evaluation of student performance by the midpoint of a semester. Shortly before the midpoint of a semester, each instructor receives a grade report form to be used in reporting students whose performance is below the C level. In addition to D, F, or I grades, one or more explanation codes may be marked. The due date for the Midterm Grade Report is set by the Academic Calendar.

### **7.43 / Final Grade Reports**

During the week prior to the beginning of final examinations, grade report forms are distributed to the departments and by the departments to instructors. The list contains the names of students enrolled in the class and indicate in the grade area any students who have withdrawn after the second week of the semester and students enrolled in the course on an audit status. The instructor circles the appropriate grade in ink, signs each page at the bottom, returns the grade list to the Registrar's Office by the due date listed at the top. Grade reports may be submitted on line through SOS or hand-carried to the Registrar's Office but must not be sent through campus or U.S. mail. Due dates based on the final examination date are necessary for the timely recording of grades on the student's transcript.

### **7.431 / Finality of Grades**

The grades assigned by an instructor to any quiz, scheduled examination, or final examination are final. An instructor may correct errors in calculating or recording a grade. Grades may be challenged by students through the academic appeals process.

### **7.44 / Change of Grades -- Undergraduate**

Request for Change of Grade forms are used to remove grades of incomplete and to correct instructor errors in grading or reporting of a grade. A grade change may be initiated by an instructor at any time during one calendar year following assignment of a grade. An explanation of the nature of the error that necessitates the change of grade is required. Request for Change of Grade forms are transmitted through the instructor's dean to the Registrar's Office. Change of a grade assigned more than one year earlier may be authorized upon petition by the instructor to the University Admissions and Exceptions Committee.

### **7.45 / Change of Grades -- Graduate**

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WSU Graduate Catalogue — <http://webs.wichita.edu/?u=GRADSCHOOL&p=/Publications/gradcatalog/>

### 7.46 / Grade Replacement

The grade replacement policy follows:

1. A grade (A,B,C,D, or F) received at the completion of a repeated class will automatically replace all previous grade(s) (A,B,C,D, or F) received for that course in the computation of the student's cumulative grade point average. A W or I grade will not replace a previous grade in the computation of the student's cumulative grade point average.
2. The option of repeating a course for the purpose of grade replacement may only be used for five (5) different courses by a student during the student's academic career at WSU or any other university.
3. Grades received in courses taken at another institution may not be used to replace grades in courses taken at WSU.
4. Grades for all attempts at a course will appear on the student's transcript, and a course which has been repeated will be designated as such by placing an R before the grade which was received.
5. Credit for a repeated course will only count once toward meeting degree requirements.
6. This policy will be effective for all students for repeated classes taken beginning with Fall 1994.

*Adopted by the Faculty Senate 10/93*

*Accepted by the President 10/93*

### 7.5 / Court of Academic Appeals Committee

WSU Policy and Procedures [http://webs.wichita.edu/inaudit/ch2\\_03.htm](http://webs.wichita.edu/inaudit/ch2_03.htm)

The Court of Academic Appeals was established in 1967 by vote of the University faculty to assure academic due process for undergraduate students who feel they have been treated unfairly in the classroom. The court's jurisdiction includes any disputes between students and faculty that cannot be settled within the framework of the student-faculty relationship, including unfairness in grading or in an instructor's charges of plagiarism, cheating, and similar offenses. The Court of Student Academic Appeals is composed of three tenured faculty members and two student members. Decisions of the court are final and carry the power to change a grade. The appeals process for Graduate students may be found at: <http://webs.wichita.edu/deptools/deptools/memberfiles/gradschool/Catalogue/4g-geninfo0405.pdf>

### 7.51 / Procedures for Academic Appeals for Undergraduate Students

1. Students should make every effort to resolve problems with the instructor before filing an appeal. A student must file an appeal within one semester after the grade is assigned (*excluding summer*). (*The Court reserves the right, in exceptional circumstances, to suspend this rule.*)
2. The student shall pick up an appeal form in the Office of the Vice President for Student Affairs or his/her designee. The complainant should meet with the Vice President for Student Affairs to determine: (a) whether opportunities for resolving the problem with the instructor have been exhausted, and (b) whether the problem is resolvable through existing University procedures other than the Court of Academic Appeals.

The Vice President for Student Affairs may indicate that a case is inappropriate, but students maintain their right to appeal if they wish to do so.

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3. The student should make an appointment with the SGA Student Advocate for assistance in: (a) resolving the case, and/or (b) preparing the appeal.

4. The completed appeal is returned by the student to the Office of the Vice President for Student Affairs for distribution along with a copy of the Procedures of the Court to the faculty member named in the appeal, and to the department chair and dean. This will be the instructor's dean, not the student's, though they may in some cases, be the same.

5. The faculty member named in the appeal will submit a written statement on the case to the department chair. After reviewing the case, the department chair should form a judgment and/or attempt to resolve the issue without exerting pressure on either the instructor or the student.

The department chair should indicate on the form: (a) a recommendation to sustain the instructor's decision, (b) a recommendation that the appeal be sustained, (c) a statement that the issue cannot be resolved at this level. Space is available on the appeal form for these comments.

6. After the department chair has made a recommendation, the case is referred to the appropriate academic dean. After reading the appeal and the recommendation of the department chair, the dean may clarify issues by discussing the matter with the student and instructor.

The dean should indicate a recommended action and return the appeal form to the Vice President for Student Affairs who will submit it to the chair of the Court.

7. The chair of the Court will, after receiving the case, inform the student and the instructor in writing of its receipt and request from each a written statement and any additional information the Court might need. This information must be received by the Court within two weeks. The instructor and the student may visit with the Court chair or write to the Court about questions of procedure.

8. The instructor and student will be notified in writing no less than seven days in advance of the projected date of the hearing along with information pertaining to the exact time and place of the hearing. The Court should establish the time for a hearing only after both the student and faculty member have been contacted and have indicated they can attend the hearing at that time. If the faculty member is not on campus during the semester of the hearing, only the student need be called prior to the establishment of the time of the hearing.

9. These procedures will be followed in an actual hearing:

a. All hearings are closed.

b. Members of the Court will be faculty and students who have no connection with either party involved in the appeal.

c. Hearings will be kept as informal as possible. A taped transcript of the hearing but not the deliberations will be made. These tapes will be maintained for one year. The tapes and all written material will be treated as confidential information.

d. The instructor and student are expected to appear at the hearing. If the student does not appear for the hearing, the case will not be heard. If the faculty member does not wish to appear, the case will be heard.

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e. The student and faculty member may be represented by counsel from the University community but not by an attorney.

f. Either party may ask members of the University community (*students, faculty, staff*) to present testimony relevant to the case.

g. The instructor and the student will have access to the written statements of each other at least seven days prior to the hearing. These statements will be treated as confidential material.

h. Relevant class records are to be made available to the Court upon request.

i. After opening statements by both parties, each will have the opportunity to question the other during the hearing, subject to academic decorum.

j. Members of the Court may question both parties to the dispute as well as those persons presenting testimony in the case.

k. When questioning is finished, both parties, counsel and witnesses, if any, will be excused.

l. Decisions of the Court are based on a majority vote.

m. For conducting business, a quorum consists of four members of the Court.

10. The decision and the rationale for the decision are reported in writing to each party and to the officials who reviewed the appeal by the chair of the hearing. Majority and minority opinions may be included. If the Court has suggestions for improving or eliminating the conditions which led to the case, these should be detailed in a separate letter to the faculty member with copies to his/her department chair and dean.

11. If the decision calls for a change of grade, the Office of the Registrar will be so advised; the chair of the Court will authorize the registrar to make the official change. Decisions affecting other offices will result in similar correspondence with those offices.

12. The Court does not rehear cases.

*(Current as of March 11, 1985.)*

### **7.6 / Withdrawals**

Students may, as a matter of right, voluntarily withdraw from any or all courses and have a W recorded for the course. After the period for voluntary withdrawal has passed, students may withdraw with a W only if they petition the dean of their college/school/University Libraries and the University's Committee on Admissions and Exceptions approves their petition. Withdrawal dates are listed in the Schedule of Courses.

Administrative withdrawal may be initiated by the dean's office of the college/school/University Libraries in which a student is enrolled, the Controller's Office, the Office of Student Affairs, or other appropriate University offices for the following reasons:

1. The student's class attendance is so poor that in the instructor's opinion full benefit cannot be derived

from the course;

2. The student fails to complete successfully all prerequisites for those courses in which the student is enrolled;
3. The student violates the provisions of the student's responsibilities statement in the University Catalog;
4. The student does not comply with the terms of a provisional admission;
5. The student has unmet financial obligations to the University.

### **7.7 / Incompletes**

The grade "incomplete" (**I**) is used to give a student an extension of time to complete course work. Incompletes are given at the discretion of the instructor. In special circumstances the Instructor may extend the time of the **I**. Credit is postponed with an **I** and the course is not included in the student's grade point average until it is completed and a regular letter grade is assigned.

#### **7.71 / Incompletes -- Undergraduate**

1. If students do not enroll at Wichita State within one calendar year following an incomplete and if their work is not completed within that calendar year, they must enroll in that course as a repeat during their next semester of enrollment or the grade will be changed to **F**. If they do enroll in the course again, the **I** is changed to **W** and the grade earned during the repeat semester becomes the grade of record. (If the course is not offered when they resume academic work, they must request that an exception be made by the chair of the department offering the course. The department chair may authorize a substitute course, postpone action for a semester or authorize a grade of **W**.)

#### **7.72 / Incompletes -- Graduate -- <http://webs.wichita.edu/?u=GRADSCHOOL&p=/Publications/gradcatalog/>**

### **7.8 / Teaching Loads**

*WSU Policies and Procedures -- [http://webs.wichita.edu/inaudit/ch2\\_07.htm](http://webs.wichita.edu/inaudit/ch2_07.htm)*

The standard teaching load normally shall be the equivalent of a 12-hour maximum, with no more than three different preparations.

### **7.9 / Student Access to Faculty--Office Hours**

*WSU Policies and Procedures -- [http://webs.wichita.edu/inaudit/ch2\\_05.htm](http://webs.wichita.edu/inaudit/ch2_05.htm)*

All members of the faculty shall file office hours with the dean of the college/school/University Libraries not later than the beginning of the second week of each semester. The schedule of office hours should be posted at the faculty member's office and should be announced to each class. The office hours should be extensive enough to provide ample opportunity for scheduled and unscheduled conferences with students. Every reasonable effort should be made to maintain the office hours as scheduled and announced.

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**Wichita State University**

Wichita State University  
Faculty Senate

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