



Policies and Procedures

4.01 / Faculty Appointments

1. Appointment Notice

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. Term of Appointment

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, advising and counseling, research, scholarly activities, other University duties, and community and public service. Periods when classes are not in session are normally devoted to the above-listed nonteaching functions or to other specially scheduled activities.

A. Annual Appointments

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

B. 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 and departmental policy and decision, subject to guidelines established by the director of the summer session.

3. Faculty Ranks

The ranks granted by the University to academic faculty are those normally bestowed by institutions of higher education: professor, associate professor and assistant professor.

4. Types of Appointments

Faculty appointments include: provisional, regular, temporary, probationary, and tenured. Temporary appointments are on an annual basis, are subject to renewal based on need for instruction, and carry no expectation of reappointment. Individuals with a temporary appointment may not be moved to a probationary appointment without review and specific authorization by the Provost and Senior Vice President. Provisional appointments are for unclassified teaching professionals and last for three years before being eligible for regular appointment status. Probationary appointments are tenure track faculty with consideration for tenure after the established probationary period. [Note: Adjuncts are appointed on a semester to semester basis as needed and do not constitute faculty appointments.]

5. Special Conditions of Appointment

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: date by which a terminal degree and/or field-registry professional credentials is expected and the consequences of nonattainment, or special conditions for nomination for tenure review consideration (such as an additional degree or field

registry professional credentials). It is the responsibility of the employee to inform the department and dean of accomplishment of the conditions of appointment.

6. Joint Faculty Appointments

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.

7. 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 Provost and Senior Vice President, provided they do not total more than 1.0 full-time equivalent (fte) and are recommended by all Colleges, departments, and units involved.

8. 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.

- A. 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 Provost and Senior Vice President.
- B. 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.

9. 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, 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.

10. 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:

- A. probationary period (if applicable);
- B. unit expectations for tenure and promotion;

- C. procedures for recommending salary increases and performance reviews;
- D. procedures for reappointment or non-reappointment decisions;
- E. 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.

11. Standards for Non-Reappointment

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

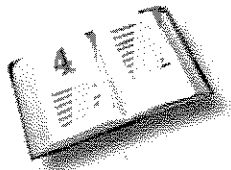
Notice of non-reappointment should be given in writing in accordance with the following standards; however, such standards shall not be applicable to any administrative assignments held by the tenure track faculty member.

- A. 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 three months in advance of its termination.
- B. 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 six months in advance of its termination.
- C. 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.

Kansas Board of Regents Policy Manual, Chapter II, Section C, Item 7

Revised August 16, 2017



CHAPTER 4



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4.025-15 / Eligibility of Adjunct Faculty for Employer-Provided Health Insurance

Purpose:

The purpose of this statement is to set forth University policy with regard to eligibility of adjunct faculty members for health insurance benefits under the Affordable Care Act.

Preamble:

The Affordable Care Act requires that employers establish reasonable standards for determining the number of hours of service by adjunct faculty, including other hours that are necessary to perform the adjunct faculty member's duties, such as class preparation time.

Policy Statement:

1. Adjunct faculty will be considered to spend two and one-half (2 1/2) hours of service (preparation, grading, etc.) for every one (1) credit hour taught. The total hours shall be entered when processing the Electronic Personnel Action Form (ePAF).
2. Circumstances may warrant a calculation based on hours not represented in the credit hour value. This includes but is not limited to those who teach applied courses, courses involving observation of students in the field, or adjuncts who teach classes without an assigned credit hour value. In this case the appropriate calculation shall be approved by the appropriate department chair and Provost's Office and entered into the ePAF. At no time shall this calculation be less than a credit of two and one-half hours (2 1/2) of service for every one (1) credit hour taught.

Implementation:

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

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

Effective Date:

October 21, 2014

Revised:

August 2017



Policies and Procedures

4.035.05 / Faculty Sabbatical Leave

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.

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 available on the [Office of Academic Affairs web page](#). 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 Provost and Senior Vice President who performs the final evaluation. Each applicant is informed of University action on his/her sabbatical leave request on the third Friday in January.

Procedures and policies established for sabbatical leaves are as follows:

1. The applicant prints or downloads the WSU Application for Sabbatical Leave and the Board of Regents Sabbatical Leave Agreement form.
2. Each leave application form is completed in sufficient detail to permit review by the FSC and evaluation by the Provost and Senior Vice President. The application is first submitted to the applicant's chairperson, who transmits the form through his/her dean to the Provost and Senior Vice President for delivery to the FSC.
3. Recommendations from the chairperson and the dean are included in the application when it is transmitted to the Provost and Senior Vice President. The recommendation must include a statement from the applicant's chairperson or dean 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 in the application. 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 Provost and Senior Vice President. It will be filed in the faculty member's permanent faculty record. 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 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 Provost and Senior Vice President.

Effective Date:

December 9, 2015

Revised Effective Date:

March 18, 2016

August 2017



Policies and Procedures

4.045.06 / Resolution of Internal Disputes for Faculty

Introduction

The collegial atmosphere of the University community is best served through informal resolution of disputes. 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. Faculty members should turn to the grievance process only after the normal methods of administrative remedy have been tried. The term "faculty member" refers to all employees who persons who, at the time the grievance is filed, have teaching/research/library responsibilities of 50% or more and .5 FTE or greater including: temporary faculty, probationary faculty, tenured faculty, contingent unclassified professionals, provisional unclassified professionals, and regular unclassified professionals (who have the e-class designation of FA or F2). ~~are full-time members of the faculty or who hold a fractional-time appointment of .5 or more, and who are tenured, temporary, probationary, or instructors with faculty status.~~

Any faculty member who has a grievance must first 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 shall seek resolution by contacting the Director of Equal Opportunity. In the event that the complaint is directed against the Provost and Senior Vice President, the faculty member is encouraged to seek resolution of the dispute with the President of the University. 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 Faculty Senate Rules Committee to stop the review.

Right of Consultation

A faculty member may invite a colleague to attend a discussion or meeting with his or 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.

The invited colleague is not a representative of the faculty member and shall not be nor serve as 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.

Faculty Senate Ombudsperson

Faculty Senate Ombudspersons are available to provide assistance to faculty members in the identification or articulation of internal disputes that arise within the University. The Ombudsperson's role is to resolve concerns and disputes that arise within the University, and as such, may facilitate a satisfactory settlement of the dispute without necessitating the filing of a grievance. The decision whether to file a grievance is, however, the prerogative of the individual. A list of the current Ombudspersons shall be posted on the Faculty Senate's website. Faculty members are encouraged to contact an Ombudsperson before filing a grievance. The president-elect of the Faculty Senate shall assist the faculty member in connecting with an Ombudsperson if necessary.

The Faculty Senate Executive Committee shall nominate three tenured faculty members, from a pool of previous faculty senate presidents, to serve as Ombudspersons for three-year staggered terms. The appointments will be confirmed by a vote of the Faculty Senate. By virtue of their prior service, those chosen to serve as Ombudspersons will possess significant knowledge of University structure and operations.

A person may not be in the grievance pool during the time of service as Ombudsperson. Administrators, as defined in the Faculty Senate Constitution, shall not be eligible for appointment. Administrators include those persons holding the title of President, Provost, Vice President, Associate Vice President, Assistant Vice President, Dean, Associate Dean, Assistant Dean, and Directors of all non-academic programs including, but not limited to, Director of the Office of Institutional Research, Director of Physical Plant, Registrar, and Director of Cooperative Education.

Policies and Procedures for Processing Grievances for Faculty

I. Grievance General Information

A. Filing the Complaint

If the dispute is not settled through informal means, the faculty member may invoke the University's grievance policy by contacting the Chair of the Rules Committee and submitting a formal complaint. In discrimination grievances, if contacted first, the Rules Committee Chairperson will direct the faculty member to the Director of Equal Opportunity.

B. Complaints Excluded from the Grievance Procedure

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

- 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 should be filed within three months from the date on which the act/s which are the basis of the grievance occurred or the date on which the act/s became known. All grievance procedures, including but not limited to grievance hearings, are suspended from May 18 to August 18. Grievances filed during that period will be processed as if filed on August 18.

The time requirements in this grievance policy shall be followed to the extent reasonably possible. When used, the term "class days" refers to weekdays, when classes are in session.

D. 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 Provost and Senior Vice President is taken pursuant to Section IV of this policy.

E. Complaint Form

The complaint form requires the faculty member to describe the nature of the complaint, the date on which the act/s which is/are the basis of the grievance occurred, and shall 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.

F. Review by the Rules Committee

The Rules Committee must decide whether the faculty member has made a bona fide effort to resolve the problem. The Rules Committee will decide within ten 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 five class days of receiving the appeal whether to overrule the decision. If the petition is accepted, the Rules Committee Chair shall appoint a Convener from the Panel of Conveners (~~See Section VII below~~) and a Review Committee from the faculty members who are on the Grievance Board (See Section VIII below). It is the responsibility of the Chair of the Faculty Senate Rules Committee to ensure that the review complies with all established timelines.

G. Convener

Conveners will be drawn from a panel of ten tenured faculty members. This panel of conveners will be selected by the Rules Committee of the Senate in consultation with the Chair of the Rules Committee. The Convener is not a voting member of the Grievance Review Committee. The Convener's role is that of an administrator and executive secretary. The Convener shall have the following responsibilities:

1. Send a copy of the complaint form and supporting documents to all parties to the action, to the dean, and to the Provost and Senior Vice President.
2. Schedule all meetings of the Review Committee.
 - a. The first hearing meeting is to be scheduled no later than 15 class days after the appointment 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 office of the Provost and Senior Vice President and with the Chair of the Rules Committee.
7. Act as secretary for all appeals of the grievance.

H. The Review Committee

A Review Committee of five will be chosen from the Grievance Board by the Chair of the Rules Committee. 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 two challenges. If any member of the Review Committee is unable to continue because of illness or for other good and sufficient reasons, the hearing shall proceed with fewer members unless one or more of the parties has a compelling reason for requesting that another person from the Grievance Board be selected to replace the Review Committee member who is unable to continue, in which case the Convener shall request the Chair of the Rules Committee to select a replacement.

The Review Committee has the following responsibilities:

1. To attend all meetings called by the Convener.
2. To ensure that fair, proper, and confidential 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.

II. Pre-Hearing Procedures

A. Meeting of the Convener and the Parties

The parties to the dispute will submit written summaries of the major issues to be decided to the Convener, and the Convener will then schedule a meeting with the parties to:

1. Clarify and, where possible, simplify the issues.

2. Stipulate to the facts, if possible.
3. Arrange for the exchange by the parties of all documents which each party intends to present to the Review Committee, and establish a deadline for that exchange which shall be no later than five class days before the formal hearing. A party to the grievance may not present any documents to the Review Committee at the grievance hearing unless they have been provided to the other parties to the grievance by the foregoing deadline.
4. Identify the witnesses whom each party intends to call at the grievance hearing.
5. Discuss the participation of advisors to the parties who are not and shall not act nor serve as legal counsel.
6. To notify either or both parties of specific material/information requested by the Review Committee.

B. Meeting of the Convener and the Review Committee

The Convener will call the Review Committee to its first meeting to review the procedures and responsibilities of the Review Committee.

C. Cooperation of the Parties

All parties should make every effort to cooperate with the Convener and each other during these preliminary activities. 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 more of the parties are 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 grievance process shall be terminated.

III. Hearing Procedures

The faculty member may elect to submit the grievance to a hearing before the Review Committee or to waive a hearing. If a hearing is waived, the Review Committee will evaluate the evidence and base its findings and recommendations on the documents and materials provided by the parties to the grievance. If the faculty member elects a hearing before the Review Committee, the following procedures for the hearing shall be followed:

- A. The Convener shall establish a time for the hearing, taking into account the needs of the parties. However, unless there are extenuating circumstances, the hearing shall be held no later than forty-five calendar days after the Rules Committee determines that the grievance should be processed.
- 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 and participation in the hearing is voluntary on the part of the parties. Unless good cause is shown, the hearing shall be closed. Upon request from either party, witnesses may be excluded from the hearing room while not testifying.
- 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 hearing should 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 and the Convener 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, but such advisor, including those with legal training, shall not be nor serve as legal counsel.

F. No recording or transcript of the hearing will be made, but the Convener and each Review 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.

IV. Decision of the Review Committee

The Review Committee shall deliberate in private in order to review the information presented and arrive at its recommendations. 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 shall send the report to the parties of the dispute, the dean, the Provost and Senior Vice President, and to the Chair of the Rules Committee, who shall file the report in the Faculty Senate office. The report should (1) restate the charges, (2) present the facts, (3) indicate whether a wrong occurred, and (4) recommend what should be done. The Review Committee will make its recommendations to the Provost and Senior Vice President who will decide to accept, reject, or modify those recommendations. In the event that the Provost and Senior Vice President is the subject of the grievance, the recommendation will be sent to the President of the University. The existence of the grievance procedure assumes that the Review Committee's recommendations will generally be accepted or will be rejected or modified only for compelling reasons.

V. Appeal to the Provost and Senior Vice President

Either party has the right to make a final statement in writing to be sent to the Provost and Senior Vice President. The statement must be submitted no later than five class days after receipt of the Review Committee's recommendations. The Provost and Senior Vice President will act on the matter within ten class days after the deadline of receipt of final statements. Notice of final action taken by the Provost and Senior Vice President shall be sent to the Convener, the parties, the dean, the Review Committee, and the Chair of the Rules Committee who shall file the notice, with identifying information deleted, in the Faculty Senate office. The written material presented by both parties to the Review Committee and the Review Committee's final report will be kept on file by the Provost and Senior Vice President for three years. This material will be held in confidence as personnel related material.

VI. Appeal to the President

Either party to the grievance may appeal the decision of the Provost and Senior Vice President by submitting a letter to the President of the University within ten class days from the date of the receipt of the Provost and Senior Vice President's decision, requesting an appeal of that decision. A copy of the appeal letter shall be submitted to the Review Committee Convener, who will assure that the dean, the Provost and Senior Vice President, Review Committee members, and the other parties to the grievance receive copies.

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 Provost and Senior Vice President.

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. The President shall review the original materials, any statements sent by the parties to the Provost and Senior Vice President or the President regarding the grievance, and the Provost and Senior Vice President's final action. The President shall notify the Provost and Senior Vice President, both parties to the dispute, the Convener of the Review Committee, and the Chair of the Rules Committee of his or her final action within ten class days of receipt of material. A copy of this notification, with identifying information deleted, shall be filed in the Faculty Senate office.

VII. Panel of Conveners

~~Conveners will be drawn from a panel of ten tenured faculty members. This panel of conveners will be selected by the Rules Committee of the Senate in consultation with the Chair of the Rules Committee.~~

VIII. Grievance Board

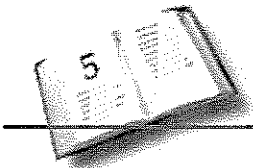
Each year a Grievance Board consisting of 50 or more tenured faculty members who are eligible for faculty senate membership will be selected to serve in the grievance pool. Temporary, probationary, contingent unclassified professionals will be given the opportunity to opt out with no questions asked within a month of receiving notification regarding their membership in the grievance pool. Those identified to act as potential Review Committee members will be selected at random from the eligible faculty personnel in proportion to the numbers in each rank, race/ethnicity, and sex. None of the Grievance Board members may be members of the Rules Committee. Persons who serve on a grievance Review Committee are exempt from serving on another grievance committee for a three year period. Persons selected for serving on the grievance board must petition the Provost and Senior Vice President to be excused.

Revision Date:

March 15, 2006

March 15, 2014

August 2017



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4.055.07 / Professional Development

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.

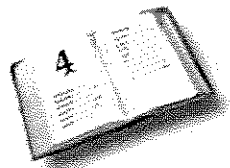
In an era of limited resources, however, the institution is developing a variety of opportunities for faculty to obtain the resources needed for professional growth. Within the limits of its capabilities, the University provides some funds for travel to professional meetings. Each fall and spring, the 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 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 Office of Academic Affairs 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.

Revised:

August 2017



CHAPTER 4

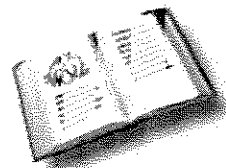


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Policies and Procedures

4.065.08 / Statements on the Professional Rights and Responsibilities of Faculty

Academic Freedom:

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.

Rights and Responsibilities of Academic Professionals and Collegiality:

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 policies and procedures manual. 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 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 by University policies.

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 consultation with the chair of the department; failing that, in consultation with the dean of the college; failing that, in consultation with the Provost and Senior Vice President; 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, University policies provide other means of resolving various disputes. These include (but are not limited to): appeal of tenure and promotion recommendations to college- or University-level committees, or to the President; appeals of curricular and academic policy questions to the faculty of a college, 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.

Faculty Ethics Statement:

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

1. 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.

2. 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.

3. 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.

4. 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.

5. 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 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.

Board of Regents Mandated Statement on the Use of Controversial Material, Including Sexually Explicit Materials in Instruction:

Students are entitled to an atmosphere conducive to learning and to even-handed treatment in all aspects of the teacher-student relationship. Faculty members may not refuse to enroll or teach students on the grounds of students' beliefs or the possible uses to which students may put the knowledge to be gained in a course. Students should not be forced by the authority inherent in the instructional role to make particular personal choices as to political action or their own social

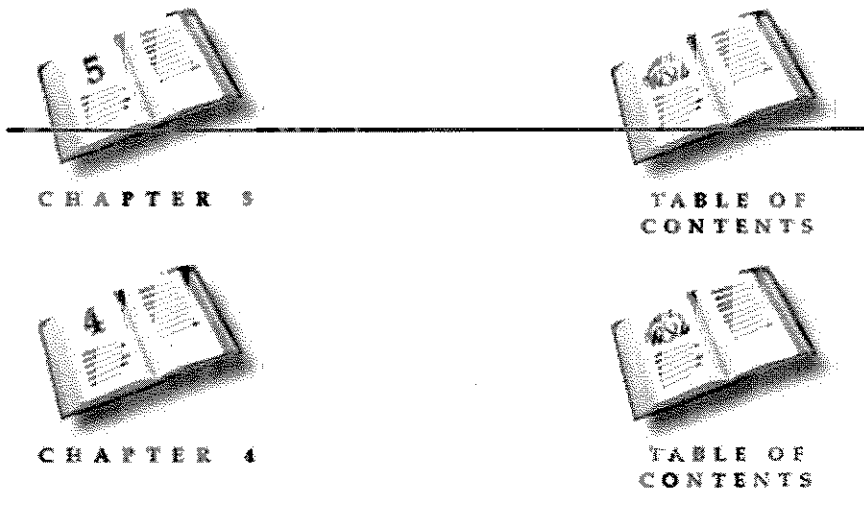
behavior. Evaluation of students and the award of academic credit must be based on academic performance professionally judged and not on matters irrelevant to that performance, whether personality, race, religion, degree of political activism, or personal beliefs.

It is the mastery faculty have of their subjects and their own scholarship that entitles them to their classrooms and to freedom in the presentation of their ~~disciplines~~ subjects. Thus, it is improper for an ~~instructor~~ ~~faculty member~~ persistently to intrude material that has no relation to the subject or ~~discipline~~, or to fail to present the subject matter of the course as announced to students and as approved by the faculty in their collective responsibility for the curriculum [See ~~KBOR Policy Chapter II, F. Item 6~~ Minutes, Board of Regents Meeting, December 2003].

Revision Date:

January 30, 2004

August 2017



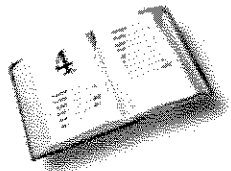


Policies and Procedures

4.075.09 / Consultant Services to Other State Agencies

It is the responsibility of the University, which employs a faculty member on a regular basis, to authorize in advance of actual service a faculty member to serve as a consultant to another state agency. If a WSU faculty member is contacted by another state agency to serve as a consultant and if the faculty member is to be reimbursed for these services, the following steps should be followed.

1. The WSU faculty member through the departmental chairperson must submit a memo to the Provost and Senior Vice President giving the name of the faculty member, dates of employment, reason for employment, and the rate of compensation.
2. When the matter has been approved by the Provost and Senior Vice President, the Vice President for Administration and Finance will notify the counterpart at the state agency requesting the services of the WSU faculty member so the requesting state agency can initiate the appropriate paper work to pay the WSU faculty member.



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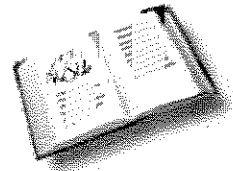


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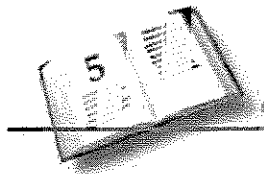
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Policies and Procedures

5.104.08 / Commencement Policy

The annual Commencement exercise is organized by a Commencement Committee with student, faculty, and administrative representation. Members of the faculty are expected to attend Commencement. Academic regalia is worn and may be rented through the University Bookstore.



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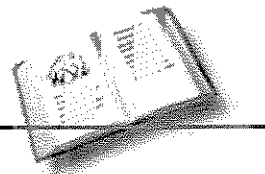
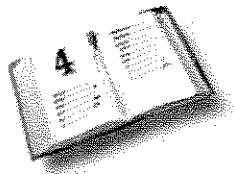


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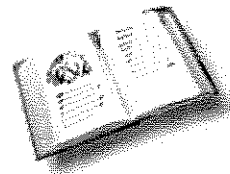


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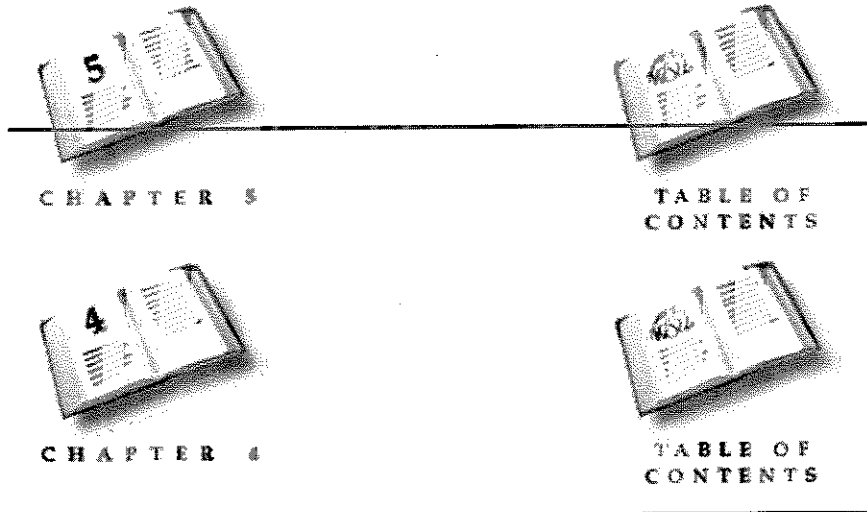
4.095.11 / Faculty Personnel Records

Faculty members must submit current curriculum vitae prior to the end of their first semester of service at the University. An official transcript of the highest degree completed is also required. Faculty personnel records are maintained in the Office of Academic Affairs.

Revision Date:

October 18, 2006

(See also Official Personnel Files at Section 3.37 of this manual.)





Policies and Procedures

4.105.12 / Graduate Faculty Membership

There are four categories of Graduate Faculty membership in Wichita State University. Candidates for Graduate Faculty membership must meet all department specific criteria and the following University specified eligibility criteria. All nominations for Graduate Faculty status must originate from an academic department of Wichita State University.

Graduate Faculty-1 (GF-1)

Eligibility:

- Tenured or tenure-track WSU faculty with assistant professor or higher rank, and
- Possess terminal degree in the discipline or its equivalent in training and/or experience (documentation is required when equivalency is claimed from a combination of training and experience)

Duties and responsibilities:

- Teach graduate courses
- Serve on master's and doctoral committees
- Chair master's thesis committee
- Co-chair specific doctoral committees with the approval of the Doctoral Subcouncil, as long as the committee chair holds a Graduate Faculty-2 status
- Mentor graduate students

Duration of membership in category:

- Appointment is for six (6) years, renewable as needed when criteria are met

Graduate Faculty-2 (GF-2)

Eligibility:

- Hold Graduate Faculty-1 (GF-1) status, and
- Demonstrated continuing scholarly/creative activity commensurate with being an established scholar in his/her discipline, and
- Demonstrated successful mentoring of graduate students, including supervision of completed thesis/doctoral projects/dissertation and serving on thesis/doctoral committees

Duties and responsibilities:

- All duties and responsibilities of GF-1
- Chair doctoral committees

Duration of membership in category:

- Appointment is for six (6) years, renewable as needed when criteria are met

Graduate Faculty-3 (GF-3)**Eligibility:**

- WSU faculty (who do not meet eligibility requirement for GF-1 or GF-2) or adjunct faculty, or
- WSU emeritus faculty, or
- Qualified by education and/or professionally recognized for scholarly/creative achievement (e.g. nationally/internationally recognized scholar/creative artist), or
- Graduate faculty in another accredited institution of post-secondary education, and
- There is departmental need

Duties and responsibilities:

- Teach graduate courses
- Serve on master's and doctoral committees
- Co-chair specific master's committee (with the approval of the Graduate Dean as long as the committee chair holds a GF-1 or GF-2 status) or doctoral committee (with the approval of the Doctoral Subcouncil as long as the committee chair holds a GF-2 status)
- Mentor graduate students
- Note - Limitation of duties based on qualification may be imposed by the Graduate Dean

Duration of membership in category:

- Appointment is for six (6) years, renewable as needed when criteria are met
- Note - Limitation of duration may be imposed by the Graduate Dean

Graduate Faculty-4 (GF-4)**Eligibility:**

- Earned master's degree or more advanced degree, and
- Possess academic/professional experience, and
- There is departmental need

Duties and responsibilities:

- Teach courses for graduate credit up to a level supported by their academic credentials

Duration of membership in category:

- Appointment is for six (6) years, renewable as needed when criteria are met
- Note - Limitation of duration may be imposed by the Graduate Dean

Renewal of Membership

- Membership in any category may be renewed through the submission of a nomination form by the academic department recommending the appointment
- For GF-1 and GF-2 renewals, demonstrated continuing scholarly/creative activity commensurate with rank of the faculty member as well as continuing involvement in graduate education through teaching of graduate courses and mentoring graduate students in the immediate past six (6) years will be expected
- For GF-3 and GF-4 renewals, demonstrated record of successful performance of graduate faculty duties in the immediate past six (6) years as well as continuing departmental need will be expected

Nomination forms are available in the Graduate School office and at the [Graduate Faculty webpage](#).

Revocation or Loss of Graduate Faculty Status or Suspension of Graduate Faculty Privileges**Conditions under which changes in membership status or privileges may take place:**

- Membership status may be terminated or changed when:
 - A Graduate Faculty member no longer meets the eligibility requirements, or
 - A Graduate Faculty member does not renew his/her membership
- Nonrenewal of a Graduate Faculty status, other than in cases of revocation or suspension of privileges, may be appealed to the Graduate Council and the Graduate Council's disposition of appeal is final.
- Membership status may be revoked or privileges may be suspended in certain extreme cases, such as those of professional incompetence as a Graduate Faculty, academic dishonesty, scholarly/scientific/creative misconduct, or gross failure to fulfill duties related to graduate faculty membership. Graduate faculty status revocation or suspension of privileges may take place only by the following procedure.

Procedure for status revocation or suspension of privileges:

- Revocation of status or suspension of privileges of a graduate faculty may only result from Graduate Council action following a complaint lodged with the Graduate Dean in writing and only if the complaint includes appropriate documentation as evidence of cause for removal of status or suspension of privileges.
- The complaint will be investigated by a faculty committee formed by the Graduate Council (comprising of at least three graduate faculty of GF-1 and/or GF-2 status).

- If further action on the complaint is deemed appropriate by the investigating committee, Graduate Council will make the final decision about the action to be taken.
- The accused graduate faculty member will have the right to a hearing before the investigating committee and the Graduate Council.

Revision Date:

April 4, 2001

July 14, 2005

May 17, 2010

July 28, 2014

March 25, 2016



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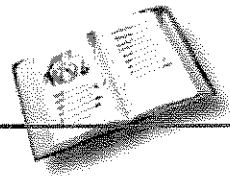
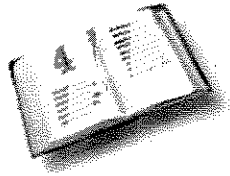


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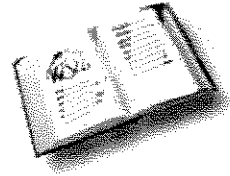


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Policies and Procedures

4.115.14 / Post-Tenure Review for Faculty

Purpose:

The purpose of this statement is to set forth University policy regarding a post-tenure review process for tenured faculty.

Preamble:

Kansas Board of Regents policy requires that each state university implement a plan to supplement its annual faculty evaluation system to assist faculty members with identifying opportunities that will enable them to reach their full potential for contribution to the University.

Policy Statement:

In accordance with Item C.8.d(4) of Chapter 2 of the *Kansas Board of Regents Policy Manual*, post-tenure reviews of all tenured faculty members shall be conducted at five-year intervals, with the first review to take place five years after tenure is awarded. All of the faculty evaluation aspects of this Post-Tenure Review Policy will be conducted in accordance with the applicable Section 4.22 section of of the *WSU Policies and Procedures Manual*. The following guidelines shall apply:

- If a tenured faculty member receives a promotion in rank or a successful Professor Incentive Review (PIR), the five year timeline will begin with the date of that promotion or PIR.
- If a tenured faculty member takes an administrative appointment, the schedule of post-tenure reviews shall be suspended until the faculty member returns to faculty status. If the term of administrative duties exceeds two years, the next review will be scheduled five years after the resumption of faculty duties.
- The schedule for reviews may be delayed by one year in order to accommodate an approved leave (as defined in Section 5.05 of the *WSU Policies and Procedures Manual*).

The post-tenure review shall be based upon an evaluation of the materials submitted by the faculty member for the previous five annual Faculty Performance Evaluations. Based on a review of these materials, the faculty member's current academic supervisor shall provide an assessment of the faculty member's performance over the past five years in each area of the faculty member's responsibility. The faculty member shall be given a copy of the academic supervisor's evaluation.

After completing the Review, the department academic supervisor must select one of the following three outcomes:

1. The faculty member's performance meets expectations and no further action is necessary.
2. The faculty member's performance does not meet expectations in two of the past four annual evaluations, and remediation is recommended in accordance with Section 4.222 of the *WSU Policies and Procedures Manual*. The faculty member may request a review of the recommendation to be conducted as specified in Section 4.21.
3. The faculty member's performance does not meet expectations in three of the last five annual evaluations, and the academic supervisor, in conjunction with the Dean, may recommend to the Provost and Senior Vice President that the ~~Dismissal for Cause~~ Performance Related Dismissal Policy, under Section 4.233 of the *WSU Policies and Procedures Manual* be invoked.

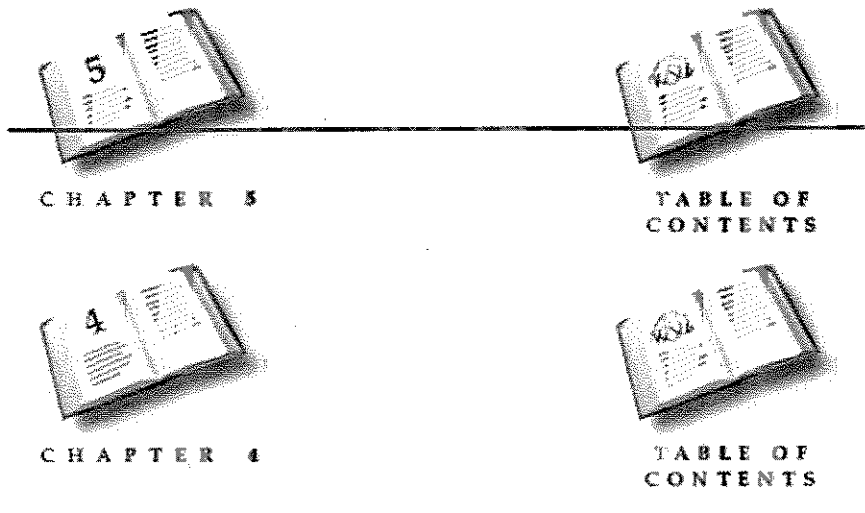
Implementation:

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

The Provost and Senior Vice President shall have primary responsibility for publication and implementation of this University policy.

Effective Date:

November 1, 2013





Policies and Procedures

4.123 / Tenure Policy

The Kansas Board of Regents has adopted the following policy regarding tenure and academic freedom of faculty at Regents institutions.

1. After the expiration of ~~the~~ probationary period established in the letter of appointment, ~~teachers or instructors~~ tenure track faculty must be considered for tenure. should have permanent or continuous tenure, and Once tenure is granted, ~~their services should be terminated only for adequate cause, except in the case of program or unit discontinuance or under extraordinary circumstances because of financial exigency.~~

2. In the interpretation of the principles contained in section 1 of this policy, the following is applicable:
 - A. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and ~~teacher~~ faculty member before the appointment is consummated.

 - B. Beginning with appointment to the rank of ~~full-time instructor~~ assistant professor 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.

 - C. If an untenured faculty member becomes a parent through birth, adoptive placement, or adoption of a child under the age of 5 prior to May 1st of the fifth year of the probationary period, that faculty member, upon notification to the institution's chief academic officer, shall be granted a one-year delay of the tenure review. Notification must occur within 90 days of the birth, adoptive placement or adoption. Faculty members retain the right to opt out of this interruption policy.

- D. 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.
- E. No more than two extensions of the tenure clock may be granted to a faculty member for any reason. Nothing in this provision shall be construed to guarantee reappointment of an untenured faculty member.

3. Within this general policy, each Regents institution may make such operating regulations as it deems necessary, subject to the approval of the board.

4. Any tenure approved by the institution shall be limited to tenure for the recommended individual at the institution consistent with the tenure policies of that institution.

5. In exceptional cases, the chief executive officer at a Regents institution may hire a faculty member with tenure without their having completed a probationary period.

6. 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.

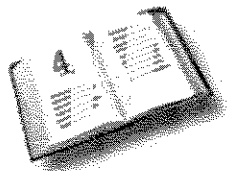
Kansas Board of Regents Policy Manual, Chapter II, Section C, Item 2 (b) (vii)

Revision Date:

September 29, 1998

February 1, 2013

August 2017



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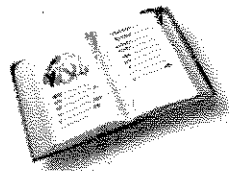


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4.13 / Probationary Period

Time Limit:

The Regents tenure policy defines the time limit for the probationary period in Section 4.12 of this manual. The following regulations apply to the probationary period as defined in Kansas Board of Regents policy:

1. At the time of initial probationary 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 appointment letter.
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 nonacademic appointment during the probationary period, that time is counted toward eligibility for tenure if he/she maintains at least a half-time (.5 FTE) academic appointment and is not counted if the 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.
4. During the probationary period a teacher will have the academic freedom that all other members of the faculty have.

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 by the department chair on official University forms provided by the Office of Academic Affairs to 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 for tenure and promotion consideration; 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 Academic Affairs.

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 C

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.

Early Consideration for Tenure:

Within the usual probationary period, a faculty member who believes he/she 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 and the dean, 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.

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.

Department faculty recommendations for award of tenure with initial appointment shall be forwarded for action through the chair to the dean and the Provost and Senior Vice President. In such cases where additional consultation is deemed desirable, the dean or Provost and Senior Vice President may convene the College/School/University Libraries or University-level committees to effect an *ad hoc* tenure review panel.

The Provost and Senior Vice President 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 final decision.

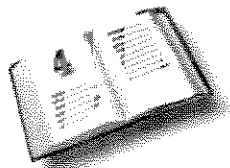
Revision Date:

September 29, 1998

October 13, 2009

February 1, 2013

August 2017



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4.145 / Non-Tenure and Promotion - Guidelines and Criteria

Not final – under development

Teaching faculty are significant members of the university who are critical department members broadly engaged in an academic program's curriculum, evolution, and impact. Teaching faculty need to demonstrate effectiveness in teaching/librarianship and service, as defined in the role statement. Although there is no research expectation for teaching faculty, the teaching faculty member's appropriate mix and extent of responsibilities is defined within their department by a role statement.

1. A terminal degree in a field appropriate to the discipline in which the candidate teaches is normally required for appointment or promotion for the following advancement levels: Assistant Teaching Professor, Associate Teaching Professor, and Teaching Professor; and, Assistant Clinical Professor, Associate Clinical Professor, and Clinical Professor. Candidates may be hired to the following levels in the absence of a terminal degree: Assistant Educator, Associate Educator, and Senior Educator. 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 advancement levels. For each level of promotion, successively higher levels of achievement are expected.

The standards for teaching/librarianship and service, as defined in the role statement, for each level are indicated below. The relative significance of teaching/librarianship, and service, as defined in the role statement, may vary from case to case. Consideration, in context of the candidate's entire career, will be given to teaching/librarianship, and service, as defined in the role statement, conducted while the candidate has been employed at the University.

Assistant Teaching Professor/ Assistant Clinical Professor/Assistant Educator: Evidence is normally expected of the following: (1) demonstrated adequacy in teaching/librarianship; and (2) some University service, as defined in the role statement, appropriate to the mission of the department and college/school/University Libraries

Associate Teaching Professor/Associate Clinical Professor/Associate Educator: Evidence is normally expected of the following: (1) documented effectiveness of teaching/librarianship; and (2) some professional or University service, as defined in the role statement.

Teaching Professor/Clinical Professor/Senior Educator: Evidence is normally expected of the following: (1) sustained effectiveness in teaching/librarianship; and (2) demonstrated academic leadership in the form of service, as defined in the role statement, to the University and the profession.

August 16, 2017

~~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 and quantitative 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.~~

~~Guidelines and criteria related to tenure and promotion are developed by the college/school/University Libraries faculty and in some instances the department faculty. They are approved by all the constituencies involved in the review process, including initiating faculty, the college/school/University Libraries faculty, the college/school/University Libraries dean, the University Tenure and Promotion Committee and the Provost and Senior Vice President. 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.~~

~~**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.~~

~~**College Guidelines and Criteria:**~~

~~Detailed guidelines and statements of criteria for tenure and promotion have been adopted by all~~

the colleges/schools/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 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 and recorded on the annual evaluation form.

Guidelines and statements of criteria for college/school/University Libraries and in some cases departments 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 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 the service conducted while the candidate has been employed at the University. If the guidelines in effect at the time of initial 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 and Promotion Committee and the Provost and Senior Vice President will be notified by the University Tenure and Promotion Committee that the contradiction needs to be corrected, and that the University policy will take precedence until the correction is in place.

University Guidelines and Criteria:

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 context of the candidate's entire career, will be given to teaching, librarianship, research, scholarship, creative activities, and the service conducted while the candidate has been employed at the University.~~

~~Assistant Professor: Evidence is normally expected of the following: (1A) demonstrated adequacy in teaching/librarianship; (B2) potential for achievement in research, scholarship, or creative activity; and (C3) some University service appropriate to the mission of the department and college/school/University Libraries.~~

~~Associate Professor: Evidence is normally expected of the following: (A1) documented effectiveness of teaching/librarianship; (B2) a record of research, scholarship, or creative activities which has earned recognition in professional circles at the regional or national level; and (C3) some professional or University service.~~

~~Professor: Evidence is normally expected of the following: (A1) sustained effectiveness in teaching/librarianship; (B2) a record of substantial accomplishment in research, scholarship, or creative activities which has led to recognition in professional circles at the national level; and (C3) demonstrated academic leadership in the form of service to the University and the profession.~~

Tenure:

~~All full-time faculty with 50 percent (.5 FTE) 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 appointment shall undergo review for tenure according to the policies stated.~~

~~Expectations of performance in and the relative importance of (1A) teaching; (2B) librarianship, B) research, scholarship, or creative activities; and (C3) service will be defined at the time of the initial appointment. These expectations and their relative weight may be modified annually during the probationary period. 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.~~

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 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.

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 at Section 4.17 and Section 4.18 of this manual. Individual units may adopt by vote of the faculty of the college 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.

Presidential Review of Nominees for Tenure or Promotion:

The laws of the State of Kansas provide that, subject to policies approved by the Board of Regents, the President shall appoint 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.

Revision Date:

September 29, 1998

April 16, 1999

October 13, 2009



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Policies and Procedures

4.15 / Tenure and Promotion - Guidelines and Criteria

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 and quantitative 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.

Guidelines and criteria related to tenure and promotion are developed by the College/School/University Libraries faculty and in some instances the department faculty. They are approved by all the constituencies involved in the review process, including initiating faculty, the College/School/University Libraries faculty, the College/School/University Libraries dean, the University Tenure and Promotion Committee and the Provost and Senior Vice President. 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.

General Policies for the Awarding of Tenure:

Tenure and promotion is conferred on the basis of (a) the judgments of all faculty committees in tenure decisions are to be based on the academic credentials, 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 review at 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.

College Guidelines and Criteria:

Detailed guidelines and statements of criteria for tenure and promotion have been adopted by all the Colleges/Schools/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 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 and recorded on the annual evaluation form.

Guidelines and statements of criteria for College/School/University Libraries and in some cases departments 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 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 the service conducted while the candidate has been employed at the University. If the guidelines in effect at the time of initial 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 and Promotion Committee and the Provost and Senior Vice President will be notified by the University Tenure and Promotion Committee that the contradiction needs to be corrected, and that the University policy will take precedence until the correction is in place.

University Guidelines and Criteria:

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 context of the candidate's entire career, will be given to teaching, librarianship, research, scholarship, creative activities, and the service conducted while the candidate has been employed at the University.

Assistant Professor: Evidence is normally expected of the following: ~~(1A)~~ demonstrated adequacy in teaching/librarianship; ~~(B2)~~ potential for achievement in research, scholarship, or creative activity; and ~~(C3)~~ some University service appropriate to the mission of the department and College/School/University Libraries.

Associate Professor: Evidence is normally expected of the following: ~~(A1)~~ documented effectiveness of teaching/librarianship; ~~(B2)~~ a record of research, scholarship, or creative activities which has earned recognition in professional circles at the regional or national level; and ~~(C3)~~ some professional or University service.

Professor: Evidence is normally expected of the following: ~~(A1)~~ sustained effectiveness in teaching/librarianship; ~~(B2)~~ a record of substantial accomplishment in research, scholarship, or creative activities which has led to recognition in professional circles at the national level; and ~~(C3)~~ demonstrated academic leadership in the form of service to the University and the profession.

Tenure:

All ~~probationary faculty full-time faculty with 50 percent (.5 FTE) 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 appointment shall undergo review for tenure according to the policies stated.

Expectations of performance in and the relative importance of ~~(1A)~~ teaching; ~~(2B)~~ librarianship, ~~B)~~ research, scholarship, or creative activities; and ~~(C3)~~ service will be defined at the time of the initial appointment. These expectations and their relative weight may be modified annually during the probationary period. 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.

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 and department 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.

Tenure and Promotion Review Process:

The tenure and promotion review process is governed by the "Tenure, Promotion, and Appeals Procedures" document in this manual, which was adopted by the University faculty, May 1994. The text of this policy follows at Section 4.17 and Section 4.18 of this manual. Individual units

may adopt by vote of the faculty of the College 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.

Presidential Review of Nominees for Tenure or Promotion:

The laws of the State of Kansas provide that, subject to policies approved by the Board of Regents, the President shall appoint 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.

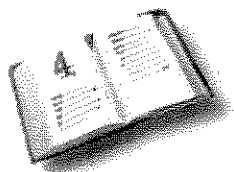
Revision Date:

September 29, 1998

April 16, 1999

October 13, 2009

August 2017



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Appendix A

Full Professor Incentive Review Program

Purpose

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 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 Provost and Senior Vice President.
- {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.

Implementation:

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

The Provost and Senior Vice President shall have primary responsibility for publication and implementation of this University Policy.

Effective Date:
September 24, 1999

Revision Date:
October 1, 2006



Policies and Procedures

4.16 / Tenure, Promotion, Professor Incentive Review and Post-Tenure Review Calendar

A Tenure and Promotion Calendar, giving actual dates, will be developed and publicized each year by the Provost and Senior Vice President or designee, based on the following "generic calendar."

September

- 2nd Friday Deadline for completion of basic documents and secondary dossiers.
- 2nd Friday Deadline for chair to notify eligible faculty tenure and/or promotion files are available for review.
- 4th Friday Deadline for inclusion of letters from external reviewers.

October

- 1st Friday Deadline for departmental reviews and votes on tenure and/or promotion and PIR.
- 2nd Friday Deadline for department to notify dean of recommendations and within three ~~two~~ (32) 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.
- 2nd Friday Deadline for department chair/academic supervisor to complete post-tenure review with faculty member.
- 3rd Friday Deadline for candidates to sign departmental cover sheet in dean's office indicating they have reviewed all documents being forwarded by the department.
- 4th Friday Deadline for submission of appeals or rebuttals to department-level recommendations to the dean.

November

- 3rd Friday Deadline for ~~college~~College/~~school~~School/University Libraries committee to transmit recommendations to dean.
- 3rd Friday Deadline for department chair/academic supervisor to communicate with the dean about any post-tenure review outcomes resulting with faculty members not meeting expectations.

December

- 1st Friday Deadline for dean 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.
- 2nd Friday Deadline for candidates to sign ~~college~~College cover sheet in the dean's office indicating that they have reviewed all documents being forwarded by the

~~college~~College and within two (2) working days after the signing, the dean will transmit materials to the Provost and Senior Vice President.

Thursday (prior to the 3rd Friday) Deadline for appeal of or rebuttal to ~~college~~College-level recommendations to the Provost and Senior Vice President.

3rd Friday Deadline for Provost and Senior Vice President to transmit materials to the University Tenure and Promotion Committee.

3rd Friday Deadline for adding materials to the secondary dossier.

January

2nd week Regular meeting of University Tenure and Promotion Committee.

4th Friday Deadline for University Tenure and Promotion Committee to report recommendations to the Provost and Senior Vice President and to notify candidates and department chairs of the committee's recommendations and the candidate's right to rebut the committee's evaluation.

February

1st Friday Deadline for submission of rebuttal statements by candidates to the Provost and Senior Vice President of the University Committee's evaluation.

3rd Friday Deadline for notification of candidates of recommendations to be made by the Provost and Senior Vice President to the President.

4th Friday Deadline for University Committee to identify problems in tenure policies and tenure promotion guidelines for the Faculty Affairs Committee.

March

1st Friday Deadlines for appeals, rebuttals and/or petitions to the President of negative recommendations.

April

1st Friday Final transmittal of Wichita State University decisions to the candidates.

Subsequent Academic Year Tenure, Promotion and Professor Incentive Review (PIR) Calendar

January

2nd Friday Office of Planning and Analysis notifies deans that information on faculty eligibility for tenure and post-tenure review is available in Reporting Services in a folder labeled "OPA - Faculty Teaching History Tenure and Rank."

March

3rd Friday Deadline for Director of the Office of Institutional Research to notify deans of faculty scheduled for mandatory tenure review.

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

April

1st Friday Deadline for dean of ~~college~~College to notify faculty scheduled for mandatory tenure review and post-tenure review with copies to the Provost and Senior Vice President.

~~2nd~~3rd Friday Deadline for chair to notify dean of faculty applying for tenure and/or promotion or PIR. faculty applying for promotion, PIR and/or early tenure review to notify chair.

3rd Friday Deadline for candidates needing an~~requesting~~ external review to notify provide reviewer and documents to chair and dean.

May

~~Deadline for chair to notify dean of faculty applying for tenure and/or promotion or PIR.~~

3rd Friday Deadline for dean's office to send~~sending~~ initial request for external reviews as required for all tenure and promotion cases (not PIR cases), if any are to be solicited.

3rd Friday Deadline for dean of ~~college~~College to notify the Provost and Senior Vice President of faculty scheduled for early tenure review and/or promotion or PIR.

Revision Date:

September 29, 1998

April 16, 1999

October 4, 2001

April 1, 2005

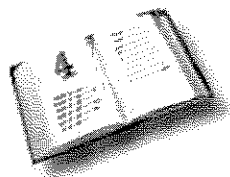
April 1, 2006

October 13, 2009

July 1, 2014

January 19, 2016

August 16, 2017



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4.17 / Tenure and Promotion - Outline of Process of Review

Any faculty member may nominate himself or herself for review for tenure or promotion. Nominations may also be made by the chairperson. 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:

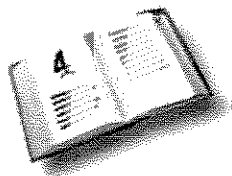
1. Nomination for review.
2. Departmental review of nominees by the departmental committee and by the chair.
3. In favorable or appealed cases, College/School/University Libraries review of department nominations by the College/School/University Libraries tenure and promotion committee, and by the College/School/University Libraries dean.
4. In favorable or appealed cases, University review of College/School/University Libraries nominations by the Tenure and Promotion Committee and by the Provost and Senior Vice President.
5. In favorable or appealed cases, review of recommendations by the University President 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 level.

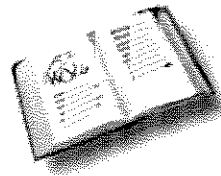
Revision Date:

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October 13, 2009



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4.19 / Tenure and Promotion Committee

Composition (12 members)

7 Chairs of the Tenure and Promotion Committees of the degree-granting ~~college~~College/~~school~~School and for University Libraries

2 Faculty-at-large

1 Student (non-voting)

2 Ex officio: (non-voting) Provost and Senior Vice President, Dean of the Graduate ~~School~~School. 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~~Colleges/~~school~~Schools and for University Libraries are chosen according to procedures established in their respective ~~college~~College/~~school~~School/University Libraries, or unit. 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 serve three-year terms. 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.

Charge:

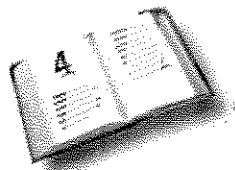
1. Implement University-wide policies and procedures for awarding tenure and promotion.
2. Coordinate the Tenure and Promotion Calendar.
3. Specify the format for documentation in support of Tenure and Promotion Review, with a view to developing comparable standards throughout the University while recognizing essential ~~college~~College/~~school~~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 University Tenure, Promotion and Appeals Procedure.

7. Review every three years the ~~college~~College/school~~School~~/University Libraries guidelines for tenure and promotion.

8. Report to the full Faculty Senate for review issues of concern in tenure policies and tenure and promotion guidelines.

Revision Date:

October 13, 2009



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Policies and Procedures

4.205.04 / Substance Abuse

Purpose:

This policy for dealing with faculty members with substance abuse problems is intended to enhance and encourage a cooperative effort between faculty and the University and to serve and protect the interests of both. The policy recognizes that professional assistance can often return an individual to full productivity and is based on the premise that it is the faculty member's right and responsibility to seek professional assistance for a substance abuse problem. This policy was developed by a Faculty Senate ad hoc committee and is administered through the Office of Equal Opportunity, Wichita State University.

Scope:

A faculty member with a possible substance abuse problem, even in its early stages, is encouraged to seek diagnosis and treatment. The faculty member should be assured that seeking assistance, pursuant to this policy, for an actual or potential substance problem, will not interfere with job status, promotional opportunities or other privileges. A substance abuse problem is defined as one in which a faculty member's use or misuse of alcohol or drugs is reasonably believed to be affecting the faculty member's job performance.

Policy overview:

The goal of this policy is to assist individuals in seeking professional help so they may return to full productivity. All faculty members, especially department chairpersons, should work to engender a University-wide enlightened attitude and a realistic recognition of the nature of substance abuse problems.

Responsibility:

1. Responsibility for implementing this policy rests with faculty. Care must be taken to follow procedures so that no faculty member with a substance abuse problem will be penalized for implementing the policy.
2. Supervisors will seek to do everything reasonably possible, consistent with applicable laws and University procedures, to make certain that information revealed by the faculty member receiving professional assistance relating to an actual or potential substance abuse problem will remain confidential.
3. Implementing this policy will not require, or result in, any special treatment, privileges, or exemption from the standard administrative practices applicable to job performance requirements.

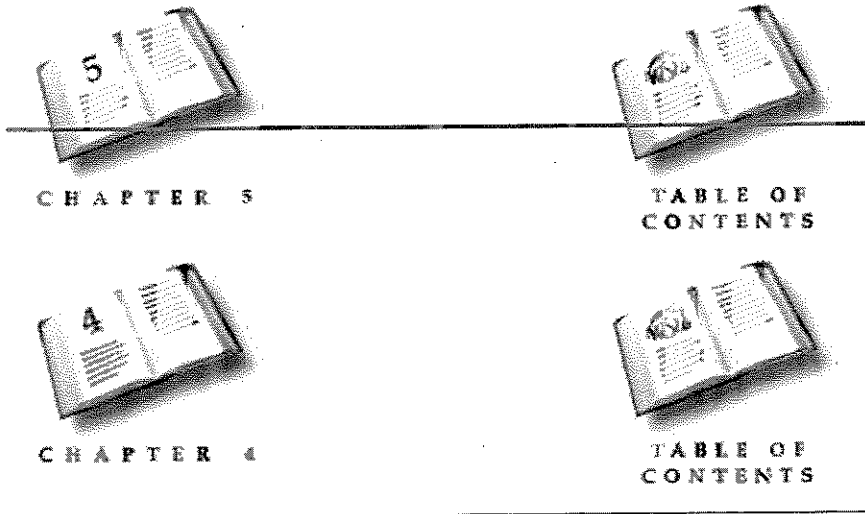
Action Guidelines:

The steps listed below are suggested guidelines only. Department chairpersons, deans, and other faculty supervisors should not attempt diagnosis, even if they have professional qualifications to judge that a faculty member's work has been affected by a substance abuse problem.

1. Before attempting intervention in a situation involving a faculty member with a substance abuse problem, the concerned supervisor should discuss with his/her supervisor and the Director of Equal Opportunity the pertinent rules and requirements concerning protection of rights of the person believed to be suffering from a substance abuse problem. It may also be helpful for the supervisor to consult with a professional in substance abuse treatment without identifying the concerned faculty member before meeting with him or her. The University's Counseling and Testing Center is staffed with professional counselors who may be able to assist supervisors.
2. The supervisor should meet with the faculty member informally and discuss the observed job performance problems. Supervisors should not attempt diagnosis. If the faculty member references a substance abuse problem as a causative factor for the job performance problems, the supervisor should reference this substance abuse policy and encourage the faculty member to seek professional counseling for the problem. In this discussion, a date will be set by which improvement in job performance will be assessed. (A list of professional agencies will be available to supervisors. This list may be obtained by contacting the Office of Equal Opportunity.)
3. The supervisor and the faculty member may also wish to consider the following options which may be pursued in connection with or in addition to professional counseling:
 - a. A faculty member with accrued sick leave may take sick leave. This option would allow the faculty member to enter an inpatient treatment center and adopt a treatment program.
 - b. A faculty member may request, pursuant to applicable University and Board of Regents policies, to be placed on leave of absence without pay.
4. What concerns the University is that the faculty member address the job performance problems presented at the informal meeting. It is the responsibility of the faculty member to follow up the suggested professional counseling, to cooperate with prescribed treatment, and to assume financial responsibility for the cost of the treatment.
5. Between the initial meeting wherein this policy is activated and the date agreed upon in the second action guideline, the supervisor will continue to monitor job performance but will in all other respects leave the initiative for further discussions to the faculty member. However, progress reports and continuing dialogue between the supervisor and faculty member are encouraged.
6. If the faculty member's job performance has improved to an acceptable level by the date prescribed by the supervisor, and as agreed to by the faculty member, the member should be so informed and no further action is required or necessary. On the other hand, if the faculty member's job performance remains below acceptable standards, the supervisor and the

University will follow normal procedures with regard to unacceptable job performance, including, but not necessarily limited to, non-reappointment or dismissal.

This policy is supplemental to and subject to all existing University policies, Board of Regents policies, and applicable state and federal laws.





Policies and Procedures

4.21 / Procedures for Departing Faculty

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 Provost and Senior Vice President, 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:

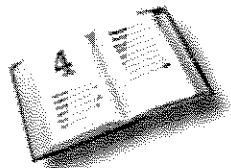
1. Except in instances of medical necessity, ~~f~~Faculty members must submit an appropriate written advisory of their departure to their budget officers. Resignations should be submitted by May 1 or within 30 days after appointment notices are mailed.
2. The budget officer fills out a Change of Status 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. The faculty member should schedule an exit interview with the Office of Human Resources.

Revision Date:

February 20, 2006

November 1, 2011

August 2017



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Policies and Procedures

4.22 / Faculty Evaluation

The following policy provisions are established from the perspective that variety in academic schools/departamental (hereinafter referred to as "department") evaluation procedures shall be preserved, subject to providing a fair evaluation for each individual and subject to departmental mission.

GENERAL POLICY

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 are to be evaluated at least once a year regardless of whether or not they are in the Academic Affairs division of the University.

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

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.

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 ~~rediscussed~~ revisited 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.

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

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

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.

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

PROCEDURES

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 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.

Department Chairs\Directors (*hereafter referred to as Cehairs*):

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.

Provost and Senior Vice President and Deans:

Deans shall transmit their pay recommendations to the Provost and Senior 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 Provost and Senior 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.

EVALUATION OF TEACHING

It is the policy of the Kansas Board of Regents policy statements of April 1992 and December 1994 [LJI] mandate that merit increases for faculty shall be based on an annual evaluation of performance. 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 guidelines for 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, including: temporary faculty, probationary faculty, tenured faculty, contingent unclassified professionals, provisional unclassified professionals, and regular unclassified professionals.

Departments, colleges or units must review and develop a comprehensive, and flexible approach to teaching evaluation, where several types of evidence will be collected, presented and evaluated as a portfolio. The types of information evaluated shall be appropriate for the discipline or various sub-disciplines represented in the department, college or unit. It shall be the responsibility of the department, college or unit to insure that evaluations are conducted in accordance with the established procedure. In addition to normed student evaluations such as SPTE or IDEA, evidence of teaching effectiveness may include, but is not limited to, some combination of the following:

1. Course materials such as reading lists, syllabi, classroom or community activities, and examinations;
2. Special contributions to effective teaching for diverse student populations;
3. Development of innovative and effective teaching methods;
4. Development of new courses or substantial modification of existing courses;
5. Evidence of impact on students and faculty;
6. Student outcome assessments such as before/after quantitative or qualitative testing, or results from standardized exams;
7. Honors or special recognitions for teaching accomplishments;
8. Peer evaluations;
9. Special teaching activities outside the university;
10. Advising and mentoring students;
11. Exit interviews, and alumni interviews and surveys to obtain information about teaching effectiveness.

Departments, colleges or unity should determine the appropriate criteria used to judge the information presented.

The results for student perceptions of teaching evaluations and student comments are owned by the faculty teaching the class. Departments and/or colleges should not have access to the results and student comments prior to faculty. Only a quantitative summary for any normed evaluations is required. Only the fronttwo summary pages areis required for evaluations if SPTEs are used, but faculty are free to include student comments in their entirety. SPTE results should be available to faculty before the annual review deadlines.

- ~~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[LJ2] 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.
— The information presented must be evaluated by peers or knowledgeable colleagues.~~
 - ~~4. To protect the broad faculty prerogatives explicit in Regents policy, department faculty shall act immediately to implement those policies. Accordingly, these faculty shall:
— Determine the kinds of information appropriate for their disciplines or for the various subdisciplines represented in their department.
— Describe the peer evaluation process with respect to the requisite information.
— Determine the appropriate criteria which are used to judge the information.
— Write a departmental policy statement incorporating items a. through c. above.~~
- a. ~~Insure 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 Provost 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.

CHRONIC LOW PERFORMANCE

Each University department/unit shall develop, with input from its faculty, a set of guidelines approved by the dean, describing the minimum acceptable level of performance for all applicable areas of responsibility for its faculty, as well as procedures to handle alleged cases of chronic low performance. Chronic failure of a tenured faculty member to meet the minimum acceptable level of performance as defined by the department/unit guidelines shall constitute evidence of "chronic low performance" and may warrant consideration for ~~"dismissal for cause"~~ performance related dismissal under existing University policies. This statement is intended to establish a specific and clear procedure for identifying and addressing instances of a faculty member failing to meet the minimum level of performance, and to provide a remediation program where appropriate, as further described below.

If the chair and/or the Faculty Activity Report Review Committee determine that the overall performance of a faculty member in their department falls below the minimum level of performance, this finding shall be indicated in the annual evaluation form. The chair shall discuss with the faculty member a suggested course of action to improve performance and document that discussion.

If during any four-year period a faculty member receives a second annual evaluation which reflects a finding in that department/unit that he or she has failed to meet the minimum level of performance, the chair shall meet with the faculty member and discuss his or her performance and types of remediation that are available and appropriate. If the faculty member requests a review of that determination, three tenured faculty members from outside that department/unit but within the same college shall review the faculty member's annual evaluations and other relevant documents. The faculty member and the chair shall each select one reviewer, and they shall jointly select the third person. The reviewers shall submit a written report to the faculty member, the chair, and the dean stating that by majority vote they have verified that departmental guidelines were followed and concluded either that (a) there is evidence of chronic low performance and that remediation is necessary; or (b) there is not evidence of chronic low performance. The dean will then make the final decisions regarding chronic low performance after meeting with the faculty member and the chair.

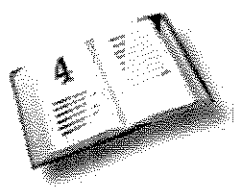
If remediation is necessary, the chair will discuss the faculty member's performance with the faculty member and suggest types of remediation that are available and appropriate. The remediation may include appropriate provisions for faculty development, such as counseling, leave of absence, or a change in teaching assignments. Other remediation steps may be offered, subject to review by the Faculty Affairs Committee of the Faculty Senate and the Provost and Senior Vice President. Remediation should begin as soon as possible and will be funded by the University. The faculty member's annual review document for the subsequent year should reflect the method of remediation and document its level of success.

If within any period of five years from the first evaluation of low performance, a tenured faculty member receives a third annual evaluation which reflects a failure to meet the minimum level of performance, the chair, in conjunction with the dean, may recommend to the Provost and Senior Vice President that the ~~Dismissal for Cause Policy~~ Performance Related Dismissal under Section 4.23 of this manual be invoked.

Revision Date:

May 15, 2007

August 16, 2017



CHAPTER 4

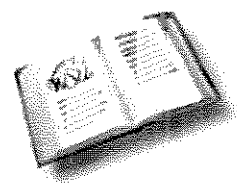


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Policies and Procedures

4.23 / Performance Related Dismissal For Cause

Preamble:

The President and representatives of the Faculty Senate have worked to revise University policies relative to performance related dismissals ~~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 Provost and Senior Vice President, 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 Provost and Senior Vice President, 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 Provost and Senior Vice President 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 Provost and Senior Vice President 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 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 Provost and Senior Vice President 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 Provost and Senior Vice President shall have primary responsibility for publication, dissemination and implementation of this University policy.

Revision Date:

November 1, 1998

August 18, 2000

August 2017



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Policies and Procedures

4.24 / Financial Exigency

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 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:

1. 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.
2. 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.

Kansas Board of Regents Policy Manual, Chapter II, Section C, Item 5

In response to the Regents action, the faculty of 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.

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 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.

I. Committee Structure

The following committees shall be selected each year for three-year rotating terms and elect their own chairpersons:

A. College Advisory and Appeals Committees for Retrenchment

1. Each degree-granting college 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 of the college, except that:
 - a. the college dean shall not be a member of this committee, and
 - b. an Equal Opportunity Agent of the college shall be a nonvoting member of the committee.
2. An election shall be held among the Academic Services staff to form a committee of six members by which such staff shall be represented. No more than two members of the committee shall be from the same division of the Academic Services staff. In addition to the elected members, an Equal Opportunity Agent will be designated as a nonvoting member by the Director of Equal Opportunity.

B. The University Advisory and Appeals Committee for Retrenchment. The University Retrenchment Committee shall comprise the chairpersons of each College Retrenchment Committee, the Director of Equal Opportunity as a non-voting member, and a representative of the Student Government Association.

1. The term "college dean" shall refer to the deans, including associate and assistant deans, of the degree-granting colleges and to the administrator charged by the President with developing the retrenchment program for Academic Services staff.
2. Hereinafter, the term "college committee" shall refer to this committee as well as those defined in I/A/1.

C. Functions of the College Committees

1. To regularly review the status of the college and its various departments in relation to those aspects relevant to possible financial exigency.
2. To participate in preventive planning with the college prior to a declared exigency.
3. To review college 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 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 even more 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 Provost and Senior Vice President with the University Committee and others as appropriate.
2. The chairperson 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, if the tenured faculty member can establish with the College 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 nonreappointment 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 Retrenchment Committee or by the University Retrenchment Committee unless the elimination of the program has been approved by the faculty of the college in which the department or program is located. Approval of the faculty is defined as a majority of the college faculty casting votes, provided that number also constitutes a majority of a quorum of the faculty of that college. (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, 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.
4. In this context the term "college" shall refer to the degree-granting colleges and to the divisions making up the Academic Services staff.

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 of each college, after consultation with the College Committee, shall announce to the college

1. the number of positions provisionally to be eliminated from the administrative staff of the college,
2. the number of faculty positions provisionally to be eliminated from each department within the college.

E. The chairperson 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, and
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 Retrenchment Committee and taking into account the written arguments from department chairpersons:

1. Design a program of retrenchment designating each member of the college 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 restrictions and guidelines.
2. Inform each department chairperson of:
 - a. The particular individuals designated for termination from that department.
 - b. Any reasons explicitly stated in the college retrenchment program for the selection of those individuals.
 - c. The number of persons designated for termination from other departments and from the administrative staff of the college.
3. Inform in writing each person designated for termination of his/her status of any reasons explicitly stated in the college retrenchment program for his/her designation for termination and of his/her right to appeal as below.
4. Present the entire program of retrenchment, including chairpersons' recommendations, to the College Retrenchment committee.

G. The College 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,

2. hear any appeals from tenured or probationary staff according to the definitions of charges and procedures given in Part V, and
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 chairpersons and individuals as in IV F/2-3.

I. The College Retrenchment Committee shall

1. review the entire program of retrenchment for the college to see that it conforms to college 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, and
3. file with the dean any changes it recommends in the retrenchment program and the committee's reasons for those changes.

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

1. inform the College Retrenchment Committee of the changes he/she has made, and of his/her reasons for not accepting any committee recommendations that he/she has rejected;
2. inform each department chairperson of
 - a. the particular individuals from that department designated for termination in the modified retrenchment program from that department,
 - b. differences between the dean and the College Committee concerning individuals to be terminated from that department,
 - c. his/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 his status, of the Dean's reasons if the College Committee does not concur in that designation, and of any right to appeal;
4. the procedures are designated to allow each faculty member only one opportunity to appeal if that appeal results in a negative recommendation by the committee to which he appeals.

K. The College Retrenchment Committee will

1. hear appeals from any tenured or probationary staff designated for termination in the modified retrenchment program of any college but not designated for termination in the original retrenchment program of that college, and
2. report its findings to the appropriate dean and the faculty member.

L. The dean shall present a report of the college's retrenchment program to the Provost and Senior Vice President who shall transmit these reports to the deans of the other colleges, this report to include

1. the modified retrenchment program of the college, together with supporting arguments,
2. copies of all recommendations from chairpersons, together with supporting arguments,
3. a list of all recommendations from the college 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 Provost,
2. hear any appeals from faculty members who do not have a designated college channel for redressing grievances (only one opportunity for appeal will be possible),
3. hear appeals from any college based on programmatic impact in that college of decisions made in other colleges,
4. recommend to the Provost and Senior Vice President appropriate procedures for redress of any appeals it upholds from M/1-2-3.0

N. The Provost shall act on the recommendations, if any, from M/4.

O. The Provost shall transmit to the President

1. the complete report on retrenchment from each college,
2. his/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/her own responses concerning the recommendations of the University Retrenchment Committee.

P. The President shall in consultation with his/her staff

1. construct a program of retrenchment for the University;
2. notify the University Retrenchment Committee of the entire program, and of his/her reasons for any deviations from recommendations of the University Retrenchment Committee;
3. notify each dean of
 - a. any changes he/she has made in the modified retrenchment program presented by the dean, and
 - b. his/her reasons for those changes;
4. notify each department chairperson of
 - a. the individuals to be terminated from that department, and
 - b. his/her reasons for any terminations not recommended by the College Retrenchment Committee;
 - c. the numbers of individuals to be terminated from other departments of that college,
5. notify each individual to be terminated under his/her program of termination
6. notify any individual to be terminated under his/her program who has not had prior opportunity to appeal his/her case of his/her right to appeal according to the procedures in Part V.

Q. The appropriate College 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/her designation for termination.

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

V. Appeals Procedures

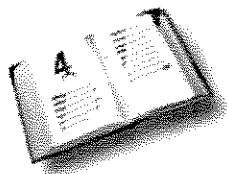
Sections G, K, M and Q of Part IV of this document describe conditions under which a member of the unclassified staff may appeal a decision to designate him/her for termination. All appeals from probationary and tenured faculty members will go to their College Advisory and Appeals Retrenchment Committee 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 chairperson 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, gender, religion, national origin, disability, sexual orientation, 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 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.

Revision Date:
August 4, 2000



CHAPTER 4

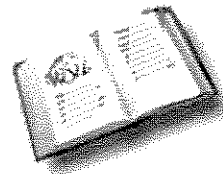


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