

## Illinois Wesleyan University Faculty Handbook

Printed editions of the *Faculty Handbook* are derived from the *Online Faculty Handbook* and reflect the contents of the *Faculty Handbook* at the time of printing. The *Online Faculty Handbook* is updated annually during the summer to incorporate adopted or amended policies and procedures that have been made by faculty, administrators, and Trustees during the previous academic year. For this reason, the *Online Faculty Handbook* supersedes printed versions wherever the reader finds differences.

The *Faculty Handbook* serves as an introduction to the University for new faculty members and as a reference for those who have become more familiar with the institution. It provides faculty members with a brief description of the operation of the University as it relates to the faculty and with other useful information.

Other University publications and documents such as *The Catalog*, the *Student Handbook*, the *IWU Employee Benefits Notebook*, the *Faculty Development Handbook*, the *Curriculum Development Handbook*, and the *University Charter and By-Laws* contain policy statements and other information that are important for the faculty. This Handbook should be used in conjunction with these other publications and documents because no attempt has been made to include their contents in full here.

Operational policies stated in this document are descriptive only and do not derogate the respective administrative and governing powers of the Board of Trustees, the President of the University, or the Faculty Constitution.

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## A. The Board of Trustees

### 1. Description of the Board of Trustees

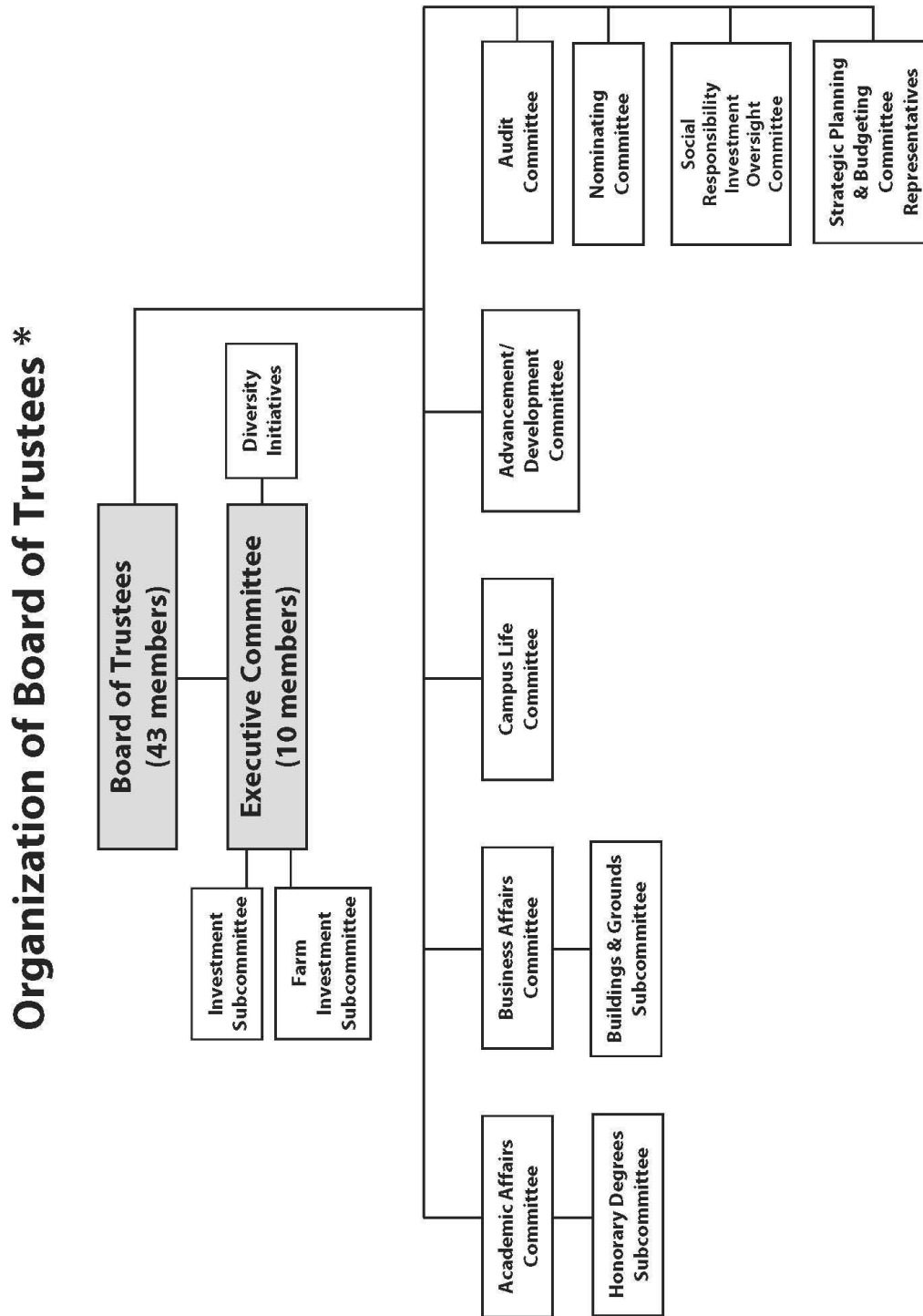
The University is a corporation and responsibility for its governance is ultimately in the hands of the members of the Board of Trustees. The Board is made up of forty-three members selected according to the following plan: four *ex officio* members (the President of the University, the President of the Illinois Wesleyan Associates, the President of the Illinois Wesleyan Alumni Association, and, acknowledging the relationship with the United Methodist Church, the presiding Bishop of the Illinois Great Rivers Conference of the United Methodist Church), and thirty-nine members elected by the Board of Trustees itself. At least twelve members of the Board of Trustees must be alumni/ae.

The Board meets in October, February, and May, while standing committees of the Board may meet more often. Three representatives of the faculty, the Chair of the Council on University Programs and Policy (CUPP), a staff representative, and two officers of the Student Senate are invited visitors at regular board meetings and meetings of the standing committees (Academic Affairs, Business Affairs, Campus Life, and Advancement) except when these bodies are meeting in executive session.

The Executive Committee of the Board meets 4-5 times per academic year with the President's Cabinet. The Executive Committee consists of the Board Chair, Vice-Presidents, Secretary, Treasurer, the standing committee chairs, and the President of the University. Between regular Board Meetings, the Executive Committee exercises the authority of the Board to the extent permitted by law and by the Board itself.

See Figure I. 1 - Organization of the Board of Trustees.

Fig. I.1 Organization of the Board of Trustees



\* This chart is an operational representation and does not constitute official policy explicitly adopted by the University. Revised February 2011.

## 2. Excerpts from the Amended Bylaws of the Board of Trustees

### **ARTICLE VI. ADMINISTRATION OF THE UNIVERSITY**

#### *Section 1. President of the University*

*1.01* The President of the University shall be elected by the Board on nomination of a special ad hoc committee appointed by the Board President for that purpose alone. Such committees shall include no fewer than seven members of the Board, one of which shall be appointed to chair the Committee, and a lesser number of individuals who are not members of the Board. The latter individuals shall include at least three members of the University's full-time tenured faculty, at least one full-time staff member of the University, and at least one full-time student of the University. The President serves at the pleasure of the Board and ordinarily without stated term, although a term of office may be negotiated at the discretion of the Board.

*1.02* The President shall be the chief executive officer of the Corporation, the official medium of communication between staff and Board and between students and Board, and shall be responsible to the Board for the implementation of the policies adopted by the Board.

*1.03* Subject to authority of the Executive Committee, the President may create and fill any administrative or academic position or office deemed necessary to the effective functioning of the University.

*1.04* Subject to authority given to him by the Board, the President may, on behalf of the Corporation, make and enter into ordinary salary contracts, institutional memberships, purchase agreements and the like, and sign any other legal documents.

*1.05* The President shall make recommendations to the Board, through the Committee on Academic Affairs, regarding all advancements in faculty rank, advancements to tenure, and leaves of absence.

*1.06* Shall, with the Vice President of Business and Finance, prepare the proposed annual budget of the University and present it to the Board through the Committee on Business Affairs, and after the budget is adopted, shall see that it is properly administered and adhered to, and.

*1.07* Shall preside at faculty meetings and exert leadership in constantly striving for excellence in all phases of the academic and cultural programs of the University.

See Annex II of the Constitution of the Faculty of Illinois Wesleyan University for



Excerpts from the Amended Bylaws of the Board of Trustees relating to Academic Affairs.

## **B. University Administration**

### **1. The President**

The President is the chief officer of the corporation, elected by and responsible to the Board. The President is responsible to the Board for the implementation of the policies it adopts and, subject to the authority granted by the Executive Committee, may create and fill any administrative or academic office deemed necessary to the effective functioning of the University. As chief executive officer, the President is the official medium of communication between staff and the Board and between students and the Board, and, subject to authority granted by the Board, enters into salary contracts, institutional memberships, and other matters on its behalf.

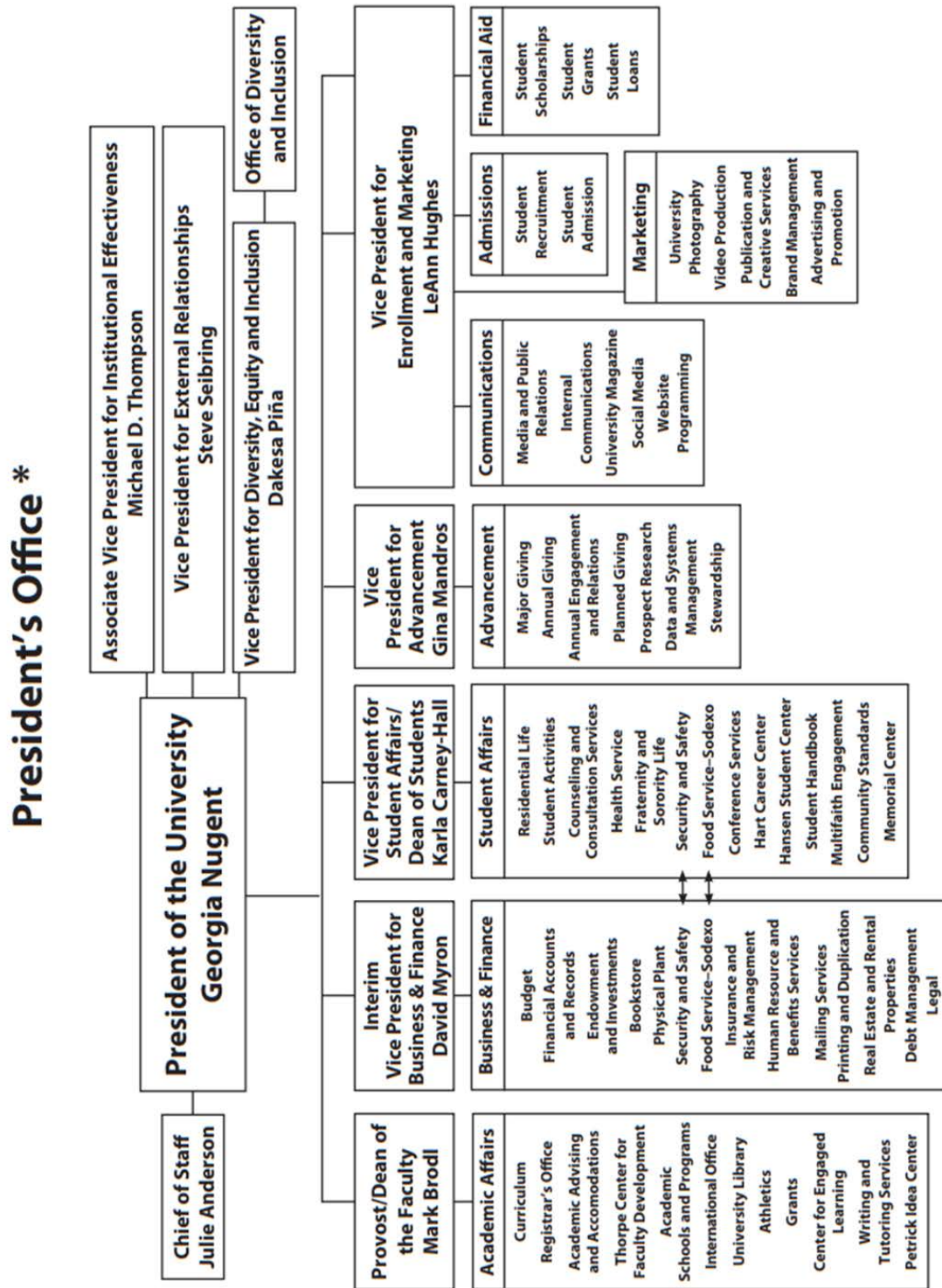
The President, with the Provost and Dean of the Faculty, makes recommendations to the Board through its Committee on Academic Affairs regarding all advancements in faculty rank, advancements to tenure, and leaves of absence. The President, with the Vice President for Business and Finance, is responsible for preparing and submitting a proposed annual budget to the Board through the Committee on Business Affairs, and for seeing that the adopted budget is wisely administered and faithfully followed.

The administrative heads of Academic Affairs, Advancement, Business Affairs, Enrollment and Marketing, and Student Affairs serve on the President's Cabinet. The Associate Provost, CUPP representative, Associate Vice President for Institutional Effectiveness, Chief Diversity Officer, Chief Information Officer, Director of Government and Community Relations, and the President's Chief of Staff also are included. This group meets with the President regularly to coordinate the administration of University affairs and to advise the President on policy matters.

The President or the President's designee shall preside at all meetings of the General Faculty called in accordance with the Faculty Constitution. The President also has the responsibility for exerting leadership in all phases of the academic and cultural programs of the campus.

See figure I.2 University Organizational Structure

Figure I.2 University Organizational Structure



\* This chart is an operational representation and does not constitute official policy explicitly adopted by the University.

### ***a. Comprehensive Review of the President***

The Board of Trustees conducts an annual review of the President of the University and periodically engages key University constituencies in a more comprehensive review of the President's performance and priorities for the future. The primary purpose of the comprehensive review is to provide the President and the Board with an assessment based on data accumulated over a longer time period and feedback gathered from the broader University community in order to provide meaningful recognition of positive accomplishments along with constructive recommendations for the President's future priorities and personal development.

A comprehensive review will generally be conducted during the second half of the President's third full year in office and every five years thereafter. The Board Chair, in consultation with the Executive Committee, will appoint an ad hoc committee of Trustees to identify, collect and summarize the relevant information and report it to the Board Chair and the Executive Committee.

The Committee's findings and any report of the results of its work will be held in strict confidence. The Committee's final report will be submitted to the Chair of the Board of Trustees who will discuss the report with the Executive Committee and share the results of those deliberations with the entire Board of Trustees. The conclusions and recommendations resulting from those conversations will be discussed with the President. The Board Chair will also be responsible for announcing any public actions or decisions taken by the Board or by the President in connection with the Presidential Review and may engage the President in the process of making any such announcements.

## **2. Vice President for Advancement**

The Vice President for Advancement and the Associate Vice Presidents for Advancement are responsible for current fund-raising, alumni affairs, and capital fund-raising. As an incorporated, non-profit educational institution, Illinois Wesleyan University depends upon the gifts of alumni and friends for a substantial portion of its operating budget.

## **3. Vice President for Business and Finance**

The Vice President for Business and Finance has responsibility for the financial affairs of the University including management of the University's resources and preparing and administering the annual budget. Through the various directors in charge, the Vice President for Business and Finance is responsible for the maintenance of buildings and grounds, campus planning and engineering, financial records, bookstore, the wellness program, human resource management, food services, and non-academic personnel management.

#### **4. Vice President for Diversity, Equity, and Inclusion**

The Vice President for Diversity, Equity, and Inclusion has responsibility for guiding the development and cultivation of an enriching, progressive, and vibrant environment that includes the whole of Illinois Wesleyan's community of students, faculty, and staff. The VPDEI works with the President and all Vice Presidents to create systemic and sustainable practices for all divisions of the University so that they are more inclusive, equitable, and just.

#### **5. Vice President for Enrollment and Marketing**

The Vice President for Enrollment and Marketing is responsible for developing and executing comprehensive enrollment and marketing strategies to drive the growth, enhance reputation, and achieve enrollment objectives. The position collaborates with senior university leadership to develop and implement comprehensive enrollment strategies, analyze demographic and market data to identify enrollment opportunities, challenges, and potential target segments. The VPDM also leads the design and execution of data-driven enrollment campaigns, leveraging traditional and digital marketing channels. The Vice President for Enrollment and Marketing also oversees the development and execution of integrated marketing and communications campaigns that align with the university's mission, values, and strategic objectives, and ensures consistent and impactful branding across all marketing materials, digital platforms, and communication channels.

#### **6. Vice President for Student Affairs and Dean of Students**

The Vice President of Student Affairs and Dean of Students is responsible for a comprehensive out-of-class experience for students, including our residential mission, student engagement, leadership development, and student well-being. Offices reporting to this position include Residential Life, Student Involvement, Esports, Multifaith Engagement, Arnold Health Services, Counseling and Consultation Services, Campus Safety, the Hart Career Center and Conference Services. Programs within the Dean of Students office include new student orientation programs, student support/retention, and student conduct processes (including the Student Handbook). Healthy campus initiatives include alcohol and other drug, sexual misconduct, and hazing prevention efforts.

#### **7. Associate Vice President for Institutional Effectiveness**

The Associate Vice President for Institutional Effectiveness is responsible for performing and supervising research requested by administrators or campus committees; collecting and analyzing data and preparing statistical reports in

support of the University's planning for future fiscal, capital, and academic needs; providing data to and interpreting data from state, federal, and higher education organizations; managing the institutional research Website; and serving as Illinois Wesleyan's representative to the Higher Education Data Sharing Consortium.

## **8. Chief Information Officer**

The Chief Information Officer (CIO) is responsible for the information technology resources of the University. The CIO develops plans for addressing the University's technology requirements and directs the staff that support the University with technology training, instructional technology, web services, desktop services, network services, and administrative systems. These duties include responsibility for the campus network, administrative systems in support of University operations, website support, servers, telecommunications, computer labs and classrooms, desktop computer systems, and the help desk. The CIO reports to the Vice President for Business and Finance with a "dotted line" to the Provost and Dean of Faculty.

## **C. Division of Academic Affairs**

### **1. Provost and Dean of the Faculty**

The Provost and Dean of the Faculty, hereafter referred to as the Provost, serves as the chief academic officer of the University and is the senior executive when the President is absent. Within his/her overall responsibilities for every facet of academic affairs, he/she bears the following specific responsibilities:

1. Supervising the Associate Provost and the Associate Deans for Curriculum and Instruction and for Scholarly and Creative Work
2. Supervising all academic department chairs/program directors/school directors
3. Overseeing the resources and administrative heads of the library, athletics programs, the registrar's office, and information technology
4. Authorizing and recruiting new and replacement faculty members in consultation with department chairs, program directors, and school directors
5. Managing faculty resources to meet the needs of students in fulfilling program and degree requirements, including supervision of course offerings and scheduling of courses
6. Providing oversight of diversity issues in Academic Affairs
7. Evaluating individual faculty members in consultation with Department Chairs/School Directors and the Promotion and Tenure Committee with regard to advancement in rank, salary, and tenure
8. Sharing administrative responsibilities for curricular design and the implementation of the will of the faculty in curricular matters with the Associate Deans for Curriculum and Instruction and for Scholarly and Creative

### Work

9. Developing policies and planning procedures, in consultation with the Council on University Programs and Policy and the President
10. Editing the Faculty Handbook
11. Developing and administering orientation programs for new faculty and fostering faculty development initiatives throughout the university
12. Reviewing and approving operating budgets for all academic departments, programs, and schools
13. Supervising the Director of Advising and providing oversight of that office's assistance to students with disabilities in determining and providing appropriate accommodations
14. Supervising the Director of Grants (or equivalent) and ensuring that this office provides meaningful faculty and program development
15. Advancing the highest standards of academic excellence and professional ethics in every part of the University community and representing these standards and ethics to the larger national community of higher education
16. Managing the budgets for departmental honoraria and entertainment and administrative travel
17. Managing the budgets for student research and travel support

See Figure I.3 Structure of Academic Affairs

## 2. Associate Provost

The Associate Provost fulfills responsibilities as assigned by the Provost. This is a full-time administration position, evaluated every four years by the faculty. S/he is a member of the President's Cabinet and attends Board of Trustees meetings.

The Associate Provost bears the following specific responsibilities:

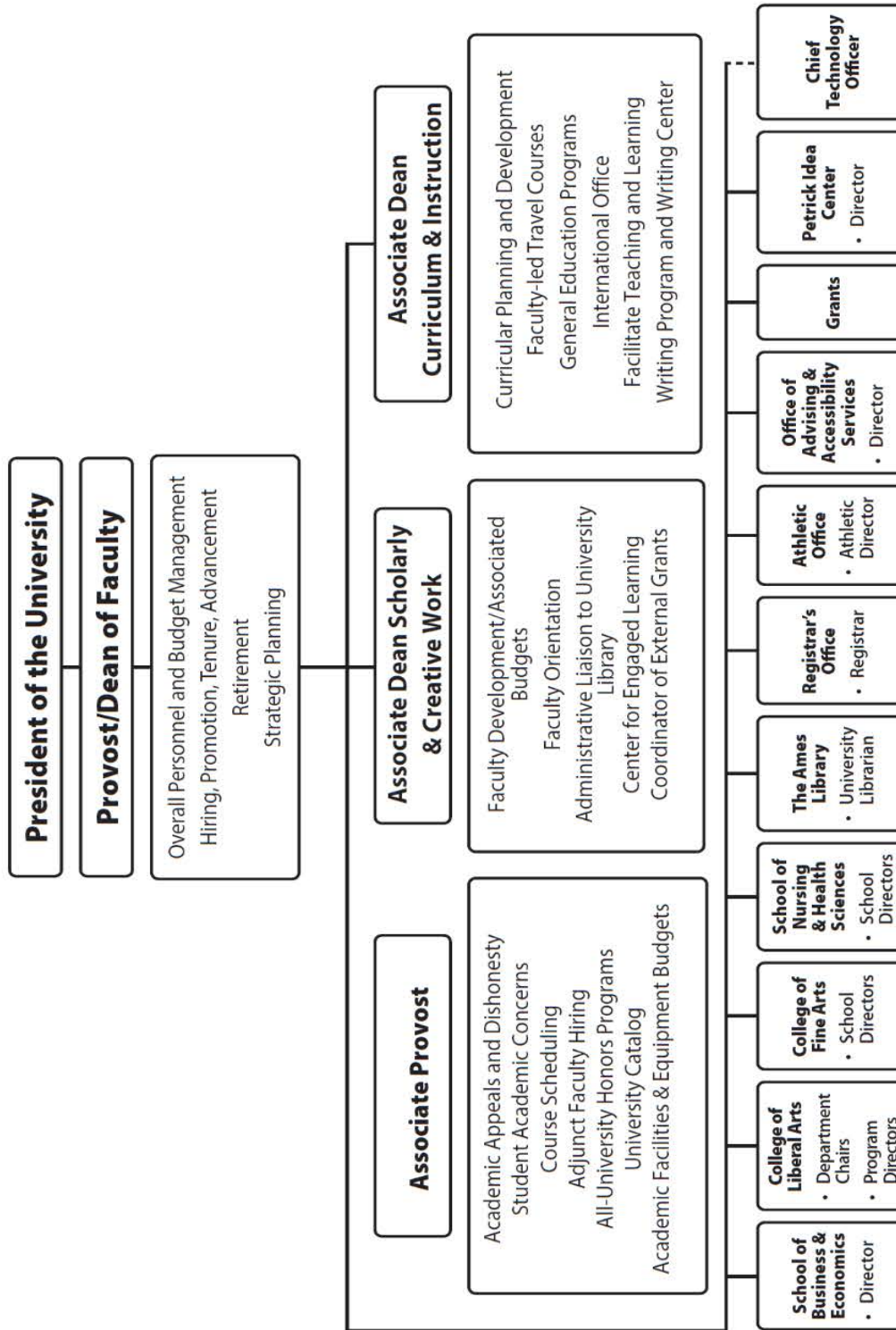
1. Maintains faculty salary information
  - a. Performs faculty salary modeling
  - b. Updates salary budget to reflect staffing changes, promotions, and raises
2. Hires part-time adjunct faculty in consultation with the Associate Dean, department chairs, program directors, and school directors
  - a. Oversees part-time salary budget
  - b. Issues contracts
3. Generates the annual Ratios Report
4. Works with the Academic Affairs team to review course enrollments, loads, and scheduling
5. Manages the academic budget for permanent equipment, in consultation with the Chief Information Officer
6. Serves ex-officio on the Undergraduate Research Advisory Committee (URAC) and supports experiential learning initiatives, including
  - a. John Wesley Powell Student Research Conference

- b. First-Year Experience
- 7. Coordinates all-University honors programs including Presidential Scholars, Research Honors, and Dean's List programs, oversees the selection of the Lincoln Laureate, and provides supporting structure for grants/scholarships and post-baccalaureate opportunities for students (Fulbright, Rhodes, Marshall, and others)
- 8. Contributes to the oversight of academic standards of the University
  - a. Addresses student academic concerns
  - b. Manages cases of academic dishonesty and disqualification from the University
  - c. Participates with the Registrar in hearing cases of academic disqualification
  - d. Works with the Director of Financial Aid on merit award eligibility.
  - e. Represents Academic Affairs on the Financial Aid Policy Committee
- 9. Contributes to compliance with external regulations
  - a. Works with the Director of Accessibility Services Services to meet ADA requirements
  - b. Serve as the Title IX Deputy Coordinator for Academic Affairs
  - c. Serves ex-officio on the Institutional Animal Care and Use Committee (IACUC)
  - d. Serves ex-officio on the Institutional Review Board (IRB)
- 10. Oversees editing the Academic Affairs portion of the University Catalog
- 11. Assigns and oversees space in academic facilities
  - a. Office space
  - b. Troubleshooting classroom space conflicts
- 12. Serves as Academic Affairs administrative representative to the Capital Projects Committee
  - a. Furniture and renovations of classrooms
  - b. Instructional technology updates
  - c. Renovations
  - d. New buildings
- 13. Supervises the Administrative Specialist, III position
- 14. Performs other responsibilities as assigned by the Provost & Dean of the Faculty



Figure I.3

# Organization of Academic Affairs\*



\*This chart is an operational representation and does not constitute official policy explicitly adopted by the university. Revised August 2023



### 3. Associate Deans

#### *a. Associate Dean for Curriculum and Instruction*

This position reports to the Provost and will provide assistance to the Provost on a wide range of academic issues, particularly those supporting the academic curriculum and faculty development related to pedagogy and instruction. The position also provides oversight and assistance to some offices and committees related to curriculum and instruction, particularly Curriculum Council (CC) and the Council for Excellence in Teaching and Learning (CETAL). The Associate Dean for Curriculum and Instruction will provide leadership in strengthening all curricular programs and assist in balancing the needs of particular academic programs with those of other disciplines and the Shared Curriculum. In addition, they will coordinate the development of the best practices of teaching and learning among faculty, including those pertaining to technology and information fluency. The Associate Dean for Curriculum and Instruction will teach one unit each semester, or its equivalent. A salary increase equivalent to two-ninths base salary will also be provided. This is a twelve-month, three-year position eligible for a one-time renewal. The Associate Dean for Curriculum and Instruction will become part of an Academic Affairs leadership team that will also include the Provost and Dean of Faculty, Associate Provost, Associate Dean for Scholarly and Creative Work, Administrative Specialist V, and Administrative Specialist III.

*The Associate Dean for Curriculum and Instruction bears the following specific responsibilities:*

1. Serves as the administrative liaison (working closely with the chair/director) to advance the following key committees:
  - a. CETAL, providing administrative support for programming and internal funding opportunities
  - b. The Center for Engaged Learning, and staff members in the Action Research Center, Study Abroad Office, and Career Center (internships) as well as the faculty on the Undergraduate Research Advisory Committee (URAC)
  - c. CC and Resource Advisory Group, coordinating handbook updates, proposals and the Consent Agenda for Faculty Meetings
2. Oversees the general education/shared curriculum program, including the assessment program, the Writing Program, and Gateway Staffing (including the hiring of adjuncts)
3. Advocates tirelessly for inclusive excellence, and in partnership with the faculty, works on the continual improvement and expansion of diversity in the curriculum
4. Facilitates the implementation of recommendations for improvement of the curriculum from faculty committees, such as Curriculum Council and URAC

5. Works with the Associate Provost in directing summer terms (including May Term – on-campus and travel courses, including promotion, survey, and reporting)
6. Works with the Associate Provost to update the University Catalog annually
7. Maintains budgets pertaining to curriculum and instruction in the Associate Deans' Office
8. Maintains an accurate and up-to-date Thorpe Center website that supports CETAL and CC activities
9. Participates (along with the Registrar, Associate Provost, and Associate Dean for Scholarly and Creative Work) in the review of Academic Exception Petitions and fall, spring, and summer (including May Term) course offerings and enrollments
10. Contributes to New Faculty Orientation and the Pre-Tenure Faculty Mentoring Program with a particular focus on curriculum and instruction; meets with faculty candidates to discuss faculty professional development opportunities curriculum and instruction
11. Meets with the following entities: Board of Trustees, Academic Affairs sub-committee, Chairs and Directors, Faculty Meeting, Advising Committee, Orientation Planning Committee, URAC, Annual Theme Committee
12. Performs other responsibilities as assigned by the Provost & Dean of the Faculty

#### *Appointment of the Associate Dean for Curriculum and Instruction*

The Associate Dean for Curriculum and Instruction shall be appointed by the Provost from among the tenured members of the faculty. The appointment is for a three-year term, with the possibility of a one-time renewal. The position is not intended to become a career for its occupant; rather, it is a term assignment, with the expectation being that after serving in the role, the Associate Dean for Curriculum and Instruction will reassume her/his duties on the regular faculty. While serving in the role, the teaching duties of the Associate Dean for Curriculum and Instruction will be replaced on a course-by-course basis, as dictated by demonstrated need.

The Provost will request that nominations for the position be sent to the chair of CUPP. CUPP will then review the nominations and act as an advisory screening committee to the Provost.

#### ***b. Associate Dean for Scholarly and Creative Work***

This position reports to the Provost and will provide assistance to the Provost on a wide range of academic issues, particularly those related supporting faculty scholarly and creative work and experiential and entrepreneurial learning for

students. The position also provides oversight and assistance to some offices and committees related to faculty development for scholarly and creative work and experiential learning, particularly the Faculty Development Committee (FDC) and the Center for Engaged Learning . The Associate Dean for Scholarly and Creative Work will provide leadership in supporting the continued professional growth of our faculty as scholars and artists and ensure that these efforts support student learning and engagement at Illinois Wesleyan. The Associate Dean for Scholarly and Creative Work will teach one unit each semester, or its equivalent. A salary increase equivalent to three-ninths base salary will also be provided. This is a twelve-month, three-year position eligible for a one-time renewal. The Associate Dean for Scholarly and Creative Work will become part of an Academic Affairs leadership team that will also include the Provost and Dean of Faculty, Associate Provost, Associate Dean for Curriculum and Instruction, Administrative Specialist V, and Administrative Specialist III.

*The Associate Dean for Scholarly and Creative Work bears the following specific responsibilities:*

1. Serves as the administrative liaison (working closely with the chair/director) to advance the following key committees/operations:
  - a. FDC, providing administrative support for programming and internal funding opportunities as well as pre-tenure and sabbatical academic leaves
  - b. CEL and staff members in the Action Research Center, Study Abroad Office, and Career Center (internships) as well as the faculty on the Undergraduate Research Advisory Committee (URAC)
  - c. The IDEA Center, providing an administrative link for programming and internal funding opportunities
2. Advocates tirelessly for inclusive excellence
3. In partnership with the faculty, works on the continual improvement and expansion of experiential and entrepreneurial learning opportunities
4. Facilitates the implementation of recommendations for improvement of experiential learning opportunities from faculty committees, such as URAC and Study Abroad Advisory Committee
5. Coordinates and oversees External Reviews of Departments and Programs (collaborates with Provost and Dean of the Faculty)
6. Works with the Director of the Office of Grants and Foundations Relations to support the development of proposal-writing skills in our faculty and to advance the development of institutional grant proposals (eg, HHMI, Mellon, TRIO, etc.)
7. Maintains budgets pertaining to scholarly and creative work in the Associate Deans' Office
8. Maintains an accurate and up-to-date Associate Dean for Scholarly and Creative Work website that supports FDC activities

9. Contributes to New Faculty Orientation and the Pre-Tenure Faculty Mentoring Program with a particular focus on scholarly and creative work; meets with faculty candidates to discuss faculty professional development opportunities for scholarly and creative work
10. Meets with the following entities: Board of Trustees, Academic Affairs sub-committee, Chairs and Directors, Faculty Meeting, URAC, Advising Committee, Orientation Planning Committee
11. Performs new duties and responsibilities as assigned by the Provost & Dean of the Faculty

#### *Appointment of the Associate Dean for Scholarly and Creative Work*

The Associate Dean for Scholarly and Creative Work shall be appointed by the Provost from among the tenured members of the faculty. The appointment is for a three-year term, with the possibility of a one-time renewal. The position is not intended to become a career for its occupant; rather, it is a term assignment, with the expectation being that after serving in the role, the Associate Dean for Scholarly and Creative Work will reassume her/his duties on the regular faculty. While serving in the role, the teaching duties of the Associate Dean for Scholarly and Creative Work will be replaced on a course-by-course basis, as dictated by demonstrated need. The Provost will request that nominations for the position be sent to the chair of CUPP. CUPP will then review the nominations and act as an advisory screening committee to the Provost.

## **4. Other Academic Administrators and their Responsibilities**

### ***a. School Directors and Department Chairs***

School Directors and Department Chairs function as links between the Provost and the faculty over whom they have authority. They are the official voice for the Departments or Schools in matters of personnel and curricula and are responsible for calling and presiding over meetings of respective faculties. When they deem it appropriate, they provide for the involvement of students in deliberations and decisions affecting their areas. In addition, they have specific responsibilities for:

- Making recommendations to the Provost regarding all aspects of faculty status such as salary, rank, tenure, and leaves. In order to fulfill this responsibility, they are required to participate in evaluation of the teaching and in the counseling of the faculty members in their units. They participate with the Provost and the President in selection of faculty. They have responsibility to counsel and assist faculty members under their direction with regard to professional development, teaching effectiveness, and other matters relating to achievement of standards associated with advancement

- and tenure. They are required to maintain files of student evaluations for each departmental faculty member for the three most recent academic years
- Advising and assisting departmental faculty members in their professional growth at all stages of their careers, in consultation with the Associate Dean for Scholarly and Creative Work and the Faculty Development Committee
  - Presenting proposed changes in the curriculum of their areas to the Curriculum Council along with rationale for such changes. They represent their departments and schools in recommending to the Provost specific details for each term's course offerings and staffing in their respective areas. They are also responsible for providing the editor of the *University Catalog* with all necessary information on departmental curricula and degree requirements for majors. They should maintain a complete file of syllabi for all course offerings in their respective areas
  - Managing departmental course offerings and faculty teaching assignments to meet the needs of students in fulfilling programs and degree requirements in the Shared Curriculum, major and minor programs, and interdisciplinary programs
  - Representing their respective areas in submitting planning documents and annual budget recommendations to the Provost and operating within their allotted budgets each year. Special needs affecting the Provost's budget for administrative travel, forums and honoraria, must be communicated during the budget-making process each year
  - Communicating to the Provost, Associate Provost, or University Librarian, the needs of their area for acquisition, rental, or assignment of space or learning resources. Acquisition, maintenance and repair of University facilities and equipment are communicated to the Associate Provost. See Chapter V.F for policy statement on permanent equipment

#### ***b. Directors of Interdisciplinary Programs***

Faculty members designated as responsible for administration of interdisciplinary programs perform duties and have curricular and budgetary responsibilities similar to those of Department Chairs. These programs include Entrepreneurship, Environmental Studies, Humanities, International and Global Studies, Neuroscience, and Women's and Gender Studies.

#### ***c. University Librarian***

The University Librarian is responsible for managing the University library's print, electronic, and personnel resources. The Librarian manages and supervises all aspects of library service to the campus community including collection development of print and non-print resources; liaison relationships with each academic department/school/program; acquisition, cataloging, and processing of all library materials; information services related to print and library electronic

resources; fiscal management of the operating and grant budgets; facility planning; and library personnel. The University Librarian reports to the Provost.

***d. Registrar***

The Registrar is responsible for maintaining the University's student records, including transcripts and verification of degrees earned. Working with the Provost, Associate Provost, and the Associate Dean for Curriculum and Instruction and in consultation with Chairs/School Directors/Program Directors, the Registrar develops the program of classes for each academic year and supervises the registration of students for classes. Working with the Associate Provost, the Registrar coordinates student appeals processes. Working with the Associate Provost and the Director of Academic Advising, the Registrar also coordinates academic advising. The Registrar reports to the Provost.

***e. Director of Athletics***

The Director of Athletics is responsible for supervising all intercollegiate athletic faculty/staff, facilities, and activities. Working with the Division of Student Affairs, the Director also coordinates intramural athletic programs. He/she develops and administers athletic policies and programs consistent with the academic mission of the University and with the ideals of Division III of the National Collegiate Athletic Association. The Director of Athletics reports to the Provost.

***f. Director of the Petrick Idea Center***

The Director of Petrick Idea Center oversees the development and operations of the creative and entrepreneurial enterprises developed primarily by the students of Illinois Wesleyan University. Working with key faculty and other staff members, the Petrick Director oversees programming and events to support students as well as the wider faculty, staff, and alumni of the University and the residents, businesses, and organizations of the surrounding community and region.

**5. Comprehensive Review of the Provost**

The President shall conduct a comprehensive review of the Provost every four years, with the first review commencing in the fall of the Provost's fourth year. As part of that review the President will solicit advice on the Provost's performance from the Board of Trustees (especially members of the Academic Affairs Committee), senior administrative officers, staff members who report to the Provost, and the faculty (see Chapter IV-H for details on the process for faculty involvement). The President will prepare a summary report describing the principles, procedures, and criteria of

the review, including a statement of whether a reappointment has occurred, for the campus community when the review has been completed.

## **6. Comprehensive Review of the Associate Provost**

The Provost shall conduct a comprehensive review of the Associate Provost every four years, with the first review commencing in the fall of the Associate Provost's fourth year. As part of that review, the Provost will solicit advice on the Associate Provost's performance from senior administrative officers, staff members who work with the Associate Provost (see Chapter IV.H for details on the process for faculty involvement). The Provost will prepare a summary report describing the principles, procedures, and criteria of the review, including a statement of whether a reappointment has occurred, for the campus community when the review has been completed.

## **7. Comprehensive Review of the Associate Deans**

If an Associate Dean seeks to be reappointed for a second three-year term, the Provost shall conduct a comprehensive review of the Associate Dean in the Fall of their third year to determine whether to reappoint them (limited to one reappointment). As part of that review, the Provost will solicit advice on the Associate Dean's performance from senior administrative officers, staff members who work with the Associate Dean, and the faculty (see Chapter IV.H for details on the process for faculty involvement). The Provost will prepare a summary report describing the principles, procedures, and criteria of the review, including a statement of whether a reappointment will occur, for the campus community when the review has been completed.

## **D. Administrative Committees**

### **1. Calendar Committee**

- a. Charge: The Calendar Committee generates the Academic Calendar.
- b. Membership: Provost, Vice President for Business and Finance, Vice President for Student Affairs, Registrar (Chair), Associate Provost, Associate Dean for Curriculum and Instruction, Director of Government/Community Relations, Executive Assistant to the President, Director of Alumni Relations, Associate Dean of Students, University Chaplain, Director of Athletics, representative from the Admissions Office, the Chair of Curriculum Council, Student Senate President, and two student representatives serving on Curriculum Council.

## 2. Endowed Professorships and Chairs Committee

- a. Charge: The Endowed Professorships and Chairs Committee reviews CV's and supporting documentation of all candidates nominated for endowed professorships and chairs.
- b. Membership: One current holder of an Illinois Wesleyan University endowed chair, two members of the Promotion and Tenure Committee, two members of the Faculty Development Committee, the Provost (*ex officio* of the Promotion and Tenure Committee), and the Associate Dean for Scholarly and Creative Work (*ex officio* of the Faculty Development Committee).

A full description of the selection process can be found in Chapter IV.

## 3. Faculty Athletic Representative

- a. Charge: The faculty athletics representative (FAR) plays an important role on college campuses, providing oversight of the academic integrity of the athletics program and serving as an advocate for student-athlete well-being. The National Collegiate Athletic Association (NCAA) requires each of its member institutions to appoint an FAR who must be on the faculty or administrative staff and may not hold a position in the athletics department. The FAR also serves as a representative of the institution for affairs in the College Conference of Illinois and Wisconsin (CCIW) athletic conference and NCAA.
- b. Appointment: The provost will appoint a FAR from the academic faculty or administrative staff. The FAR will serve for a term of three years with the option for reappointment at the end of a term.

## 4. Information Technology Governance Committee

- a. Charge: The Information Technology Governance Committee (ITGC) is responsible for aligning Information Technology's investments in solutions for the university with the university's stated mission, goals, and strategic plans and priorities. The ITGC is advisory in that it provides recommendations to the Chief Information Officer and the President's Cabinet concerning IT priorities, projects, and policies. The ITGC reviews, discusses, and deliberates as a group. While consensus is certainly desirable, it is not required. Thus, no votes are taken. The CIO as chair/convener of the ITGC brings forward to executive leadership the essence of the discussions/debates, including dissenting perspectives, for the Cabinet to consider in making final decisions.



- b. Membership: Chaired by the CIO, the membership includes:
- 8-10 members appointed by the President's Cabinet
  - 2 members of the IT team (ex officio)
  - Invited guests and staff resources, as needed

(In the Fall of 2022 the functions of the University Technology Forum were absorbed by the ITGC when it was created.)

## 5. Retention Committee

- a. Charge: The Retention Committee (RC) is responsible for the collection and examination of student data elements regarding student attrition and for exploring the resultant patterns and trends related to students' academic and personal development. The RC is advisory in that it provides detailed information to student-facing administrators concerning admissions, academic advising, academic progress, athletics, campus life, diversity, equity, and inclusion, financial aid, and institutional effectiveness. The Associate Vice President of Institutional Effectiveness (AVPIE) as chair of the Retention Committee brings forward to executive leadership any noteworthy discoveries concerning student success for the Cabinet to consider.
- b. Membership: Associate Vice President of Institutional Effectiveness (Chair), Associate Registrar, Associate Vice President for Enrollment Management, Athletic Director, Dean of Students/Campus Life, Director of Academic Advising, Director of Financial Aid, Institutional Effectiveness Specialist, Registrar, and the Vice President for Diversity, Equity, and Inclusion.

## 6. University Speakers Committee

- a. Charge: The University Speakers Committee (USC) will solicit ideas for major speakers from the campus community and make recommendations to the President for All-University Convocations, such as, President's Convocation, Founders' Convocation, and Commencement. Additionally, the USC will have information about all central budgets supporting speakers and can, therefore, make recommendations for coalition funding for speakers suggested by campus community members. By providing representatives from all areas of the University, the USC will function as a source of shared information about speakers and a deliberative body to which those seeking funds may apply.
- b. Membership: Director of Government and Community Relations (Convener), the Faculty Representative to the Board of Trustees/Member of the Trustees Honorary Degree Committee, two at-large members of the Faculty (serving two-year, alternating terms), one representative from Alumni Relations, one

representative from University Communications, two representatives from Student Services, the Student Senate Vice President, the Student Senate member representing University Events, the Student Senate member representing Awareness Events, and a staff representative.

## 7. University Council on Diversity

- a. Charge: The University Council on Diversity (UCD) is the visioning group of committed student, faculty, staff and administration responsible for assisting in advancing campus diversity initiatives. The council will assess our progress and define specific steps to be taken to accomplish the strategic plan for the University. University strategic plans emphasize sustaining a commitment to diversity; educating for diversity and social justice; developing and sustaining an inclusive campus climate; and recruiting and retaining a diverse student body, faculty and staff.

IWU Diversity Goal: Develop and sustain a dynamic, inclusive campus community that actively and visibly supports and educates for social justice, diversity and human rights. Continuously shape and support this diverse community of students, faculty, staff and alumni through evaluation, recruitment, mentoring and retention efforts.

Strategy A: Sustain a Commitment to Diversity

Strategy B: Educate for Diversity and Social Justice

Strategy C: Develop and Sustain an Inclusive Campus Climate

Strategy D: Recruit and Retain a Diverse Student Body

Strategy E: Recruit and Retain a Diverse Faculty and Staff

Strategy F: Involve Constituencies that Represent Diverse Groups

- b. Membership:

- Provost
- Vice President for Student Affairs
- Assistant Vice President for Student Affairs
- Dean of Enrollment
- Vice President for Enrollment and Marketing
- Director of the Office of Diversity and Inclusion
- Co-Chairs, Intercultural Fluency Committee (including one faculty member)
- Chair, Faculty Committee on Diversity (faculty member)
- Director of Human Resources and Title IX Coordinator
- Student Senate Commissioner for Awareness and Inclusion
- Associate Vice President for Institutional Effectiveness
- Chair of the Council for Religious Life
- UCD is co-chaired by the Provost and the Vice President for Student Affairs

## Chapter II: The Constitution of the Faculty of Illinois Wesleyan University

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### A. Preamble

The Constitution of the Faculty of Illinois Wesleyan University outlines the responsibilities and role of the faculty within the University community. It recognizes the ultimate responsibility of the Board of Trustees under the University's charter, of the President as the primary agent of the Board, and the responsibilities of other components of the University in a community which includes the Trustees, the President and other officers of administration, the faculty and the students.

The Constitution reflects the special and traditional responsibility of a University faculty for the academic affairs of the University. It is not a document standing alone, but one to be interpreted in line with the University charter and the Bylaws of the Board of Trustees, with the necessary administrative rules approved by the President, and the basic documents relating to student government.

(Adopted by the Faculty December 3, 1984. Approved by the President January 7, 1985.)

## **B. ARTICLE I. Responsibility of the Faculty**

The level of academic excellence which characterizes an institution of higher education is directly related to the quality of its faculty and the degree to which the faculty takes seriously its role in maintaining the high quality of education in the University. The faculty's major obligation is to establish and maintain an institutional environment where excellence in instruction and learning is possible. In order to fulfill this function, there are certain areas where the concern and participation of the faculty is vitally important.

1. The selection, retention, promotion, and economic status of faculty.
2. The academic freedom of individual faculty members to determine and pursue their own teaching and research, and their unencumbered participation in the political and social life of the wider community.
3. The review and maintenance of a curriculum.
4. The establishment of the standards of admission, separation, achievement, and graduation of students.
5. Personal contact with and counsel to students.
6. Planning for the academic and fiscal future of the University.
7. Assistance in the selection of the President of the University and others concerned with academic affairs.
8. Encouragement of responsible student participation in the University community.

## **C. ARTICLE II. Academic Freedom and Due Process**

The faculty of Illinois Wesleyan University shall be afforded academic freedom and due process. Academic freedom is the freedom to teach, both in and outside the classroom, to research and to publish the results of those investigations, to address any matter of institutional policy or action whether or not as a member of an agency of institutional governance. Professors should also have the freedom to speak to any matter of social, political, economic, or other interest to the larger community, subject to the academic standard of conduct applicable to each. The faculty endorses the principles set forth in the Statement of Principles on Academic Freedom and Tenure appearing as Annex I to this Constitution, and as endorsed by the American Association of University Professors, and the Association of American Colleges. It is noted that the Board of Trustees of Illinois Wesleyan University has adopted certain procedures from this statement (see Annex II By-laws of the Board of Trustees, Sec. 2.01C). Other procedures adopted from time to time to implement this constitution shall afford prompt resolution of the matter(s) involved.

## **D. ARTICLE III. Faculty Organization**

### **Section 1. General Faculty Meeting**

The General Faculty Meeting shall be composed of all members of the faculty as defined in Section 2 of this Article, and shall be the instrument by which official faculty action may be taken. The President of the University, or a designee in the President's absence, shall preside. The President shall designate a regular monthly meeting date and may call special meetings when necessary. The faculty may meet in special session on written request of at least twenty-five percent of the faculty. The meeting shall be deemed to have a quorum if the number of faculty present exceeds 40% of the number of tenure lines. The meeting shall determine its own rules of procedure and may consider any matter of professional interest to the faculty. Minutes of all meetings shall be kept and made available to members of the faculty. Other members of the University staff or administration may be invited by the President. Student representatives may be invited with the approval of the faculty.

### **Section 2. Membership in the Faculty**

Faculty as used in this Constitution shall include all members of the Academic Affairs staff of Illinois Wesleyan University having full-time appointments of academic rank. Instructional staff are teaching colleagues who also have staff responsibilities. These individuals have renewable contracts as described in Chapter IV. Instructional staff are considered members of the faculty for purposes of faculty meetings, but committee service is limited (as described within the Handbook).

### **Section 3. Council on University Programs and Policy**

- a. *Organization.* One representative elected by each educational unit, two at-large representatives who will also serve as Representatives to the Board of Trustees, elected by the faculty to staggered two-year terms, and the President of the Student Senate or the president's designee *ex officio* with vote shall constitute the Council on University Programs and Policy. When the President or Provost shall determine that matters before the Council are of sufficiently sensitive nature, the President and Provost may meet with the faculty members alone as a subcommittee.

Full-time faculty will be eligible to serve as representatives of educational units. Instructional staff are not eligible to serve on the Council. Representatives of educational units shall be elected for two-year terms. Membership on the Curriculum Council, Promotion and Tenure Committee, Faculty Development Committee, Hearing Committee, or Assessment Committee precludes membership on the Council on University Programs and Policy except in the case of *ex officio* members. For the purpose of electing representatives to the Council on University Programs and Policy educational units shall be constituted as follows:

1. Schools of Art, Theatre Arts, and Music
2. School of Nursing and Health Sciences and the Department of Kinesiology, Sport, and Wellness
3. School of Business and Economics
4. Division of Humanities
5. Division of Natural Sciences
6. Division of Social Sciences
7. Interdisciplinary Programs and the Library.

Interdisciplinary faculty who choose to vote for an Interdisciplinary representative on CUPP may not vote in any other educational unit election for a CUPP representative. The Council shall determine its own rules of procedure, which shall be published in the *Faculty Handbook* subject to the provisions of Article IV. A majority of the faculty membership shall constitute a quorum for the conduct of business.

- b. *Functions.* The Council shall advise the President and the Provost on matters brought to its attention by the President, the Provost, any member of the Council, or any member of the faculty. The Council shall consider and make recommendations to the President, the Provost, or the faculty on University physical plant, enrollment, development, strategic planning, or other matters of University operation as deemed appropriate.

The Council shall be responsible for the selection of faculty representatives who serve on any administratively-formed committee on which faculty representation is desired. This includes all *ad hoc* task forces and study groups, all committees involved in accreditation, strategic planning and other university-wide functions,

Records group	Official copy holder	Retention Period	Retention event	Retention Authority	Delete electronic	Permanently retained	Archives/ Access
Agenda	Committee	Current	N/A	N/A	Chair/end of semester	N/A	N/A
Public minutes	Committee	Permanent	Upon distribution	N/A	N/A	University archives	Retained in open collection
Board of Trustees faculty notes	Faculty rep to the BoT	Permanent	Upon distribution	N/A	N/A	University archives	Retained in open collection
Faculty meeting reports	Provost's office	Permanent	Upon distribution	N/A	N/A	University archives	Retained in open collection
Task Force Reports	Committee	Permanent	Upon distribution	N/A	N/A	University archives	Retained in open collection

and all search committees for academic administrators at the level of Assistant Provost or higher and for all other administrators at the level of Dean, Vice-President, or higher. This does not include standing committees (elected or appointed) normally under the jurisdiction of the Nominating Committee. Once a committee becomes established as a standing elected committee in Chapters I or II of this Handbook, it should usually fall under the jurisdiction of the Nominating Committee. In consultation with the administration, the Council will determine how many faculty representatives will serve, as well as the constituencies from which those representatives will be chosen. The Council will also determine the mechanism by which faculty representatives are selected. Possible mechanisms include election by the full faculty, from within relevant subgroups of faculty, or by direct appointment from the Council. Election by the full faculty will be the preferred method of selecting representatives to administrative or *ad hoc* committees. Under some circumstances, the administration may desire specific faculty to be appointed to committees because those faculty possess particularly relevant skills or experiences. In such cases, the Council will request written justification from the administration, and will take such justification under consideration when compiling the list of faculty representatives. Unless brought to the full faculty for approval, members of the Council will not themselves be eligible for election, except on the Strategic Planning and Budgeting Committee.

CUPP will serve as the advisory screening committee for the Academic Affairs Associate Dean positions. CUPP will confirm that all nominees are willing to serve in these positions; in all other respects, nominations will be kept confidential. After assessing the qualifications, strengths, and weaknesses of each candidate, CUPP may elect to interview finalists for the position in question. Nominees will then be ranked. CUPP's recommendations and the rationales for them will then be forwarded to the Provost.

- c. Reports and Records.* All actions taken by the Council, and its sub-committees/task forces, will be recorded in the minutes and distributed to the faculty. Minutes of CUPP meetings will be distributed to the faculty via email in a timely manner. Task Force Reports will be appended to the relevant CUPP meeting minutes for distribution to the faculty. The Council shall make a report to the General Faculty Meeting of its proceedings. Recommendations requiring faculty action shall be made at a General Faculty Meeting. Some information discussed during CUPP meetings will be kept appropriately confidential and those discussions will take place in executive session.
- d. Procedures for Conducting Elections.* Representatives to the Council on University Programs and Policy shall be elected according to consistent procedures approved by a vote of the general faculty. Such procedures shall assure that no faculty member of the educational unit will be deprived of the opportunity to be elected. Election of representatives shall take place prior to the faculty election provided for in Article V. At-large representatives shall be elected during general faculty elections. Vacancies shall be filled by the same procedures used for the election of a representative. Representatives elected to fill a vacancy shall serve until the end of the regular term of the representative they are replacing.

#### **Section 4. Faculty Representatives to the Board of Trustees**

- a.* Two Faculty Representatives to the Board of Trustees shall be elected by the general faculty, to serve two-year terms. One Representative shall be elected each year, and at least one Representative shall be tenured. Instructional staff are not eligible to serve as Faculty Representatives to the Board of Trustees. CUPP shall elect a third Representative to the Board from among its members to serve for a one-year term. It is recommended that the Representatives have several years of experience as members of the University faculty.
- b.* The Faculty Representatives to the Board of Trustees and the Chair of CUPP shall attend and observe regular meetings. The Faculty Representatives elected by the general faculty shall serve on the Board of Trustees Honorary Degree Committee.
- c.* The two elected Faculty Representatives to the Board of Trustees will collate a comprehensive report that includes information from the Academic Affairs, Business, Advancement, and Campus Life Subcommittees and the General Business meeting of the Board of Trustees. This written report will be submitted to the faculty within a month's time of the BOT meeting. For archival purposes, the written report will also be included as part of the CUPP report.
- d.* The two elected Faculty Representatives to the Board of Trustees shall serve as at-large members of CUPP.



### Section 5. Promotion and Tenure Committee

- a. *Organization.* The Promotion and Tenure Committee (PAT) shall consist of five tenured/tenure-track members of the faculty elected according to the procedures prescribed in Article V. Instructional staff are not eligible to serve on the Promotion and Tenure Committee. The members shall serve two-year terms, and at least four of the five members shall be tenured. Faculty who apply for tenure or promotion in rank shall not serve on the committee during the academic year in which their case is under consideration. Membership on the Promotion and Tenure Committee precludes membership on the Curriculum Council, the Council on University Programs and Policies, the Faculty Development Committee, the Hearing Committee, and the Assessment Committee. The Committee shall elect a Chairperson and a Vice Chairperson who shall constitute the Executive Committee. A majority of the elected membership shall constitute a quorum for the conduct of business. The Promotion and Tenure Committee may meet jointly with the Faculty Development Committee at the request of either committee or the Provost. The Committee shall determine its own rules of procedure, which shall be published in the *Faculty Handbook* subject to the provisions of Article IV. The purpose of these procedures is to assure that the recommendations of the committee are a bona fide exercise of professional academic judgment and are not based on discrimination and violations of academic freedom.

The Provost shall also be a non-voting, *ex officio* member. The presence of the Provost during all discussions related to the matters of the Promotion and Tenure Committee provides the continuity essential to maintaining consistent standards and due process. The Provost does not, however, participate in the actual peer review decision. The Provost can, if needed, consult with the President of University Counsel about institutional or legal questions that may occur during the deliberation of cases. The Provost will consult as needed with the Chairperson of PAT in all matters related to the Committee. The Provost will meet with any individual faculty member who seeks advice in the timing of candidacy for advancement, the preparation of cases or to discuss the recommendation made by the Promotion and Tenure Committee. The Committee Chairperson and Vice Chairperson may be asked to sit in on these meetings.

- b. *Functions.*

- l) The Promotion and Tenure Committee shall advise the President concerning personnel matters as to the awarding of tenure, the reappointment of probationary faculty, and the awarding of promotions in rank. Other matters may be reviewed at the request of the President. The President does not attend Promotion and Tenure Committee meetings except under special

circumstances such as when he or she may need to poll the members of the committee regarding any of their decisions. Faculty members may initiate the process for consideration for promotion in rank on their own behalf. This intent must be conveyed to the Provost and Chairperson of PAT.

- 2) The Promotion and Tenure Committee may also study policies and practices in faculty personnel matters including standards of recruitment, promotion, tenure, separation, working conditions, and compensation.
- c. Reports and Records.* The Committee shall formulate and submit recommendations to the President through the Provost. The Committee shall report to the General Faculty Meeting. Where appropriate, however, it shall report only in a general way sufficient to keep the faculty informed of its work without violating confidentiality. Recommendations and reports concerning overall policy shall be presented to the General Faculty Meeting for consideration before transmitting them to the President for action. The Committee shall maintain a full record of all actions taken, and minutes shall be kept of all discussions. The Committee may control access to information on grounds of administrative or individual privacy. The full Records Management Policy for PAT is in the Appendix to Chapter IV.

### Section 6. Faculty Development Committee

- a. Organization.* The Faculty Development Committee shall consist of five members of the faculty elected according to the procedures prescribed in Article V. Instructional staff are not eligible to serve on the Faculty Development Committee. The members shall serve two-year terms, and at least three of the five members shall be tenured. The Associate Dean for Scholarly and Creative Work shall also be a non-voting, *ex officio* member. Membership on the Faculty Development Committee precludes membership on the Council on University Programs and Policies, Promotion and Tenure Committee, the Curriculum Council, the Hearing Committee, and the Assessment Committee. The Committee shall elect a Chair and a Vice Chair. The position of secretary rotates among the elected members of the faculty (excluding the Chair). A majority of the elected membership shall constitute a quorum for the conduct of business. The Faculty Development Committee may meet jointly with the Promotion and Tenure Committee at the request of either committee or the Provost. The Committee shall determine its own rules of procedure, which shall be published in the *Faculty Handbook* subject to the provisions of Article IV.
- b. Functions.* The Faculty Development Committee shall be responsible for matters concerning faculty development and professional growth of faculty. It shall advise and make recommendations to the Provost concerning faculty leaves, University grants, and support for faculty research and other professional activities.

- c. *Reports and Records.* The Faculty Development Committee shall formulate and submit recommendations for sabbaticals, grants and distribution of faculty development funds to the Provost. Recommendations and reports concerning overall policy shall be presented to the General Faculty Meeting for consideration before transmitting them to the President for action. All decisions or recommendations not requiring faculty action shall be reported to the faculty. The Committee shall maintain a full record of all actions taken, and minutes, which shall be distributed to the faculty, shall be kept of all discussions. The Committee may control access to information on grounds of administrative or individual privacy.

### Section 7. The Curriculum Council

- a. *Organization.* The Curriculum Council shall consist of one representative elected by each educational unit, the Associate Dean for Curriculum and Instruction (or a designee) *ex officio* without voting privileges, the Registrar *ex officio* without voting privileges, and two student members chosen by the Student Senate. Student members may be named to committees of the Curriculum Council but shall not be designated as *ex officio* members of any committee established to deal with personnel matters. Representatives of education units shall be elected for two-year terms. Membership on the Curriculum Council precludes membership on CUPP, the Promotion and Tenure Committee, Faculty Development Committee, the Hearing Committee, and the Assessment Committee. For the purpose of electing representatives to the Curriculum Council educational units shall be constituted as follows: The School of Art, Theater Arts, and Music; The School of Nursing and the Physical Education Department; the Division of Business and Economics; the Division of Humanities; the Division of Natural Sciences; the Division of Social Sciences; and the Library faculty. The Council shall elect a Chairperson and Vice Chairperson. The position of secretary rotates among the Committee members excluding the Chair. The Council shall determine its own rules of procedure, which shall be published in the *Faculty Handbook* subject to the provisions of Article IV. A majority of the voting faculty membership shall constitute a quorum for the conduct of business.
- b. *Functions.* The Curriculum Council shall advise and make recommendations to the faculty or to the President on all matters concerning the curriculum (including The Shared Curriculum Program and The Gateway Colloquia), calendar, credit, individual courses, and other matters relating to academic affairs. It may call attention to budget needs to the extent to which they affect academic affairs. It may appoint panels from its membership or recommend to the President appointment of committees consisting of members of the Council, the general faculty, the administration, the student body, or any combination thereof, to perform special tasks or projects. Recommendations concerning subjects within

the Council's jurisdiction may be made by any member of the faculty, student body, by departments or schools, or by the President or Provost. The Council shall consider such recommendations and make a final report or recommendation to the faculty.

- c. *Reports and Records.* The Curriculum Council shall submit its recommendations to the General Faculty Meeting for approval, except as it may provide for final action by the Council on matters of minor or routine nature. All actions taken by the Council shall be recorded in minutes of its proceedings and distributed to the faculty.
- d. *Procedures for Conducting Elections.* Representatives to the Curriculum Council on University shall be elected according to consistent procedures approved by a vote of the general faculty. Such procedures shall assure that no faculty member of the educational unit will be deprived of the opportunity to be elected. Election of representatives shall take place prior to the faculty election provided for in Article V. At-large representatives shall be elected during general faculty elections. Vacancies shall be filled by the same procedures used for the election of a representative. Representatives elected to fill a vacancy shall serve until the end of the regular term of the representative they are replacing.

#### **Section 8. The Assessment Committee**

- a. *Organization.* The Assessment Committee shall consist of four members of the faculty, elected according to the procedures prescribed in Article V. These four faculty members shall serve two-year staggered terms, and three of the members shall be tenured. The Assistant Vice-President for Institutional Research, Planning and Evaluation shall be a non-voting, *ex officio* member. One student without voting rights will be appointed by the Student Senate. Membership on the Assessment Committee precludes membership on the Council on University Programs and Policy, Faculty Development Committee, Promotion and Tenure Committee, the Hearing Committee, and Curriculum Council. The Committee shall elect a Chairperson and a Vice Chairperson from among the voting membership. The position of Secretary shall rotate among the members of the Committee, excluding the Chair. A majority of the voting membership shall constitute a quorum for the conduct of business. The Committee shall determine its own rules of procedure, which shall be published in the *Faculty Handbook* subject to the provisions of Article IV. The functions and purview of the Committee are subject to Article III, Section 1 of the Constitution.
- b. *Functions.* The Assessment Committee shall:

1. Establish effective policies and practices for assessment of student learning by all departments, schools, interdisciplinary programs, and university-wide programs (including May term, study abroad, the Shared Curriculum, and internship). All policy recommendations from the Assessment Committee shall be submitted to the Faculty for approval.
  2. Receive and review assessment reports, strategic assessment plans, and other updates from all departments, schools, and programs;
  3. Collect, maintain, and make available to appropriate constituencies a repository of assessment reports from all departments, schools, and programs;
  4. Provide feedback to each department, school, and program about the effectiveness of its assessment process;
  5. Evaluate the extent to which each department, school, and program has performed assessment consistent with effective policies and practices, and share this evaluation with the university community; and
  6. Report to CUPP, FDC, CC and the Provost the feedback given to departments, schools, and programs on their assessment practices and student learning outcomes to facilitate strategic use of assessment for planning.
- c. Reports and Records.* The Committee shall report to the General Faculty Meeting. The Committee shall maintain and archive a full record of all minutes and actions taken.

#### **Section 9. Participation by Persons Not Members of the Curriculum Council, Promotion and Tenure Committee, Council on University Programs and Policy, Faculty Development Committee, or Assessment Committee**

- a.* The Curriculum Council, Promotion and Tenure Committee, Faculty Development Committee, Assessment Committee, and Council on University Programs and Policy may invite members of the faculty or administration not members of the Council or Committee, the student body, or other persons concerned to attend and participate in meetings of their respective bodies. The chairperson of the group in each case may exercise this authority except in cases where a matter merits discussion with the group concerned. Faculty may observe meetings when the business at hand is not confidential.
- b.* It shall be the policy of the faculty and its councils to include representatives of the student body in all committees when appropriate.

#### **Section 10. The Hearing Committee**

- a. Organization.* The Hearing Committee shall consist of eight members elected from the faculty according to the procedure prescribed in Article V. Instructional

staff are not eligible to serve on the Hearing Committee. The members shall serve two-year staggered terms and at least six of the eight members shall be tenured. Members of the Council on University Programs and Policy, the Faculty Development Committee, the Promotion and Tenure Committee, the Assessment Committee, and Curriculum Council, as well as administrators above the level of departmental chair or school director, are not eligible to serve on the Hearing Committee. At its first meeting, the Committee shall elect a Chairperson.

The Hearing Committee shall conduct informal proceedings and formal hearings. In appropriate circumstances, an informal proceeding is an alternative to a formal hearing. A formal hearing considers a grievance brought against a faculty member or a member of the academic administration, a review of the procedures related to due process of the Promotion and Tenure Committee, or dismissal for cause.

- 1) For an informal proceeding, a three-person Mediation Subcommittee will be appointed by the Chairperson of the Hearing Committee.
- 2) For a formal hearing, a five-person Hearing Panel will be selected according to the following process.
  - a) The Hearing Panel shall initially be chosen by lot from the full committee membership. Hearing Committee members who have previously served on a Mediation Subcommittee considering the same matter shall be excluded, and the remaining five members will constitute the Hearing Panel.
  - b) Members may recuse themselves for bias or interest of their own initiative.
  - c) After a panel of five has been constituted, the grievant and respondent will each have the right to one peremptory challenge. In the event that there are multiple grievants or respondents, each side will have the right to only one peremptory challenge. The grievant and respondent will simultaneously submit in writing to the Hearing Panel the name of the panelist challenged, if any. If neither party challenges, the Hearing Panel will proceed as constituted. If both parties challenge, replacement members or substitute panelists will be selected as prescribed above, and the Hearing Panel will proceed as constituted. Finally, if only one party exercises a challenge, the other party retains the peremptory challenge until another panel of five has been constituted.
  - d) If one or more members are excused from the Hearing Panel, replacement members shall be selected by lot until five panelists have again been seated. In the event a five-member panel cannot be constituted from members of the Hearing Committee, seated panelists shall choose substitute panelists by lot from members of the Curriculum Council. If a panel still cannot be fully constituted, substitute panelists

shall be specially elected by the faculty. The Nominating Committee shall conduct the election either at the next meeting of the General Faculty or, if necessary, by written or electronic mail.

- e) Replacement members and substitute panelists may be recused on the same basis as the initial members.
  - f) Substitute panelists, not members of the Hearing Committee, shall serve only until the conclusion of the hearing on the matter for which they were selected.
- b. *Functions.* When performing the following four functions, procedures of the Hearing Committee shall afford due process for the parties to the hearing and prompt resolution of the matter(s).
- 1) A Mediation Subcommittee may attempt informally to resolve complaints brought by faculty against other faculty or against members of the administration. The procedure may not be used by administrators above the level of departmental chair or school director. Informal complaint resolution will be conducted according to the "Informal Procedures for Complaint Resolution" as established by the Hearing Committee and published in the *Faculty Handbook*. Use of the informal mediation process is optional and any party may request instead the use of the formal grievance process. The complainant need not have pursued all the avenues of grievance resolution stipulated for a formal hearing before bringing a complaint to a Mediation Subcommittee.
  - 2) A Hearing Panel may investigate grievances for the purpose of making a recommendation for resolution. Grievances may be brought to the Hearing Committee by an individual faculty member, a group of faculty, the academic administration, an individual student, or a group of students. Such grievances will typically involve issues related to academic freedom, professional ethics, or due process. A Hearing Panel will investigate grievances only when all other efforts at resolution as required by the *Faculty Handbook* and *Student Handbook* have been exhausted, including consultation through the normal channels with the relevant faculty members and Provost. It is not necessary to employ an informal proceeding in advance. All grievances will be handled according to the "Formal Procedures for Hearing Grievances," as established by the Hearing Committee and published in the *Faculty Handbook*. A Hearing Panel will not hear grievances that are in conflict with the Hearing Committee's purview as described in the *Faculty Handbook*.
  - 3) A Hearing Panel may also review the proceedings of the Promotion and Tenure Committee, to ensure due process. In no case shall the Hearing Panel substitute its judgment of the merits of a case for that of the Promotion and Tenure Committee. The Hearing Committee review will be limited solely to

claims of a lack of due process. Reviews will follow the “Procedures for Review of Promotion and Tenure Committee Due Process” established by the Hearing Committee and published in the *Faculty Handbook*.

- 4) A Hearing Panel shall investigate and make recommendations to the President in cases of dismissal for cause of a tenured or non-tenured faculty member. Dismissal for cause proceedings will be conducted according to the “Procedures for Dismissal for Cause” as established by the Hearing Committee and published in the *Faculty Handbook* and, more generally, the American Association of University Professors’ “1958 Statement on Procedural Standards in Faculty Dismissal Proceedings.” (pp. 11-14 of *AAUP Policy Documents and Reports*, 2001, 9<sup>th</sup> edition)
- c. *Reports and Records*. In the case of an informal proceeding, a Mediation Subcommittee will report only to the parties involved. In all other cases the Hearing Panel will report to the parties involved and to the President, and keep a record in the manner specified by the appropriate procedural statement established by the Hearing Committee and published in the *Faculty Handbook*
  - d. *Changes to Hearing Committee Procedures*. Considering the importance of the Hearing Committee procedures to the faculty as a whole, permanent changes to the four procedural documents in the *Faculty Handbook* (“Informal Procedures for Complaint Resolution,” “Formal Procedures for Hearing Grievances,” “Procedures for Review of Promotion and Tenure Due Process,” and “Procedures for Dismissal for Cause”) may be made only with approval of the Hearing Committee and approval of the faculty by majority vote.

### Section 11. Academic Appeals

Students wishing to appeal faculty decisions on final course grades or in other matters of class conduct must first attempt to resolve their problems with the individual faculty member involved, and then with the individual faculty member and the Chair of the Department or the Director of the School involved. A student who remains dissatisfied following these attempts may submit the appeal in writing to the Registrar within one semester of receiving the disputed grade.

The Registrar will then place the appeal before the Academic Appeals Board, which consists of two faculty members, and an alternate, each serving two-year terms, elected by the faculty and two students and an alternate elected annually by the Student Senate. The Registrar serves as non-voting Chairperson of the Board. The Board may either dismiss the appeal or change the disputed grade and so instruct the Registrar. Decisions of the Board, which are made by majority vote, are final, and notice of decisions shall be sent to the parties involved within two weeks after the decision has been rendered.

It is not the purpose of the Board to rule on an instructor’s professional standards. However, it is in the Board’s purview to assess whether those standards have been



equitably applied. Thus, for example, the Board does not have the authority to judge whether an instructor's overall grading policy is too strict or whether the amount of work required of a student is too great. It is appropriate, however, for the Board to judge whether a particular student has been graded more severely than others in a class or whether more work has been required of a particular student than of others in the class. Furthermore, whatever the charge of inequity, the professional competence of the faculty member concerned shall be presumed, and the burden of showing that an inequity has occurred is upon the student filing the appeal.

Students also have the right to appeal findings of academic dishonesty to the Academic Appeals Board. Such findings occur when an individual faculty member determines that a student has committed an act of academic dishonesty and files a written report to that effect with the Associate Provost. (See section on Academic Dishonesty (V.B.7) for more information). Upon receipt of a second report, the Associate Provost refers the matter to the Academic Appeals Board with a recommendation of separation from the University. The Board's procedures and authority in cases of academic dishonesty appeals are similar to those in cases of grade appeals.

### **Section 12. Undergraduate Research Advisory Committee**

- a. Organization.* The Undergraduate Research Advisory Committee shall consist of four members of the faculty elected according to the procedures prescribed in Article V. Instructional staff are not eligible to serve on the undergraduate Research Advisory Committee. Committee members include broad faculty representation from across academic units on campus, as well as one non-voting student member appointed by Student Senate. The members shall serve two-year terms, with two members elected in alternate years in order to preserve continuity. The Associate Provost shall be a non-voting, *ex officio* member. The committee shall elect a Chair and a Vice-Chair, and the position of secretary shall rotate among the elected members of the faculty (excluding the Chair). A majority of the elected membership shall constitute a quorum for the conduct of business.
- b. Functions.* The Undergraduate Research Advisory Committee serves to encourage student research, scholarly work, and creative activity at all levels of the university curriculum. The committee also assists the Associate Provost in pursuing initiatives to promote academic excellence in our students, by expanding research opportunities, enhancing the undergraduate research experience at the university, and publicizing and preparing students for prestigious post-baccalaureate awards. This committee selects the student recipients of non-department-specific summer fellowships such as the Eckley Scholars and Artists Program. The committee organizes the annual John Wesley Powell Student Research Conference, which includes selecting the keynote speaker for the conference.

- c. *Reports and Records.* The Undergraduate Research Advisory Committee shall announce the annual Eckley Scholars and Artists and the keynote speaker for the annual John Wesley Powell Student Research Conference. The committee shall maintain meeting minutes and may control access to information on grounds of administrative or individual privacy when necessary.

### **Section 13. Council for Excellence in Teaching and Learning (CETAL)**

- a. *Organization.* The Council for Excellence in Teaching and Learning shall consist of five voting members elected according to the procedures prescribed in Article V. These members shall serve two-year staggered terms, and three of the members shall be tenured. Both faculty and instructional staff are eligible to serve on CETAL. The Committee will also include several non-voting members, including two colleagues from the Teaching, Learning, and Technology area of ITS and one or two students chosen by Student Senate. Additionally, the University Librarian, Director of the Writing Center and Tutoring Services, and a Director from an office that represents high impact practices or their designates will serve as non-voting ex-officio members. The Associate Dean for Curriculum and Instruction will be a non-voting, ex-officio member. Other individuals or groups may be invited as non-voting members depending on CETAL's focus for the year. Membership on the Curriculum Council, Council on University Programs and Policy, Promotion and Tenure Committee, Faculty Development Committee, Hearing Committee, or Assessment Committee precludes membership in CETAL except in the case of ex-officio members. The committee shall elect a Chair and a Vice Chair. The Chair shall be elected from the elected members who are tenured or on the tenure-track. The Vice Chair shall be elected from all elected members. The position of secretary shall rotate among the elected members (excluding the Chair). A majority of the elected membership shall constitute a quorum for the conduct of business. The Committee shall determine its own rules of procedure, which shall be published in the faculty handbook subject to the provisions of Article IV.
- b. *Functions* The Council for Excellence in Teaching and Learning serves to support teaching and learning at IWU by fostering the pedagogical development of faculty and instructional staff. Its functions include identifying high-impact teaching methods and best practices in teaching and learning, supporting faculty development of equitable and inclusive practices (in cooperation with the Faculty Committee on Diversity), organizing and coordinating workshops and faculty development initiatives pertaining to pedagogy, coordinating with the Center for Engaged Learning leadership on matters related to student engagement and success, among other activities. It shall advise and make recommendations to the Provost concerning University grants and support for faculty development. CETAL will also advise the Associate Dean for Curriculum and Instruction on matters related to teaching and learning.
- c. *Reports and Records.* The Council shall report to the General Faculty Meeting.

The Council shall maintain a full archive of all minutes and actions taken. Following the changeover meeting, Chairs are responsible for disposing of the supplemental materials created during their academic year.

#### **Section 14. Faculty Secretary**

A Faculty Secretary shall be appointed by the President upon the recommendation of the Nominating Committee, to serve a one-year term.

#### **Section 15. Authority of Schools and Departments**

Nothing in this Constitution shall be interpreted to be in derogation of the authority of schools and departments or other faculty units for the planning and initiation of personnel and curriculum actions affecting their respective units.

### **E. ARTICLE IV. Faculty Handbook**

There shall be prepared and maintained a *Faculty Handbook* for publication of policies and procedures necessary to implement this constitution and for the promulgation of such other administrative rules as are deemed appropriate for the governance of the faculty. In addition, the *Faculty Development Handbook*, and the *Curriculum Development Handbook*, contain policy statements and other information that are important for the faculty. In the event that there is a disagreement between these handbooks and this *Faculty Handbook*, the *Faculty Handbook* is the prevailing document.

Committees and Councils of the General Faculty shall from time to time review provisions in the *Faculty Handbook* related to their respective jurisdictions and organization and propose changes where deemed appropriate. Individuals may also propose changes to the *Faculty Handbook*. Procedurally, proposed changes to the Faculty Handbook will ordinarily not be considered unless they first have the approvals outlined below. However, approval of changes to the Faculty Handbook is and remains subject to the ultimate rights and authority of the Provost, President and the Board of Trustees, to operate and manage the university. Deviations from the approval process outlined below have to be for compelling reasons which should be stated in detail to the faculty as early in the decision-making process as possible, but no later than the faculty meeting following the approval of the changes.

Changes to:	Approval Process:
Chapters I,VI,VII	the approval of the Provost and the President.
Chapter II	a constitutional amendment (see Article VI, Section 2) (30 day notice required).
Chapter III.A	the approval of the faculty.
Chapter III.B.1-4, 6	the approval of the respective committees.
Chapter III.B.5	the approval of the Hearing Committee and the faculty.
Chapter IV	the approval of the faculty, the Provost and the President.
Chapter V.A, V.C-G	the approval of the Provost and the President.
Chapter V.B	the approval of the faculty, the Provost and the President.

The University remains subject to federal and state laws applicable to its operation and to employment. To the extent that the provisions of this Faculty Handbook are inconsistent with such laws, it is the intention of the university that the provisions of such laws shall prevail over the provisions found herein.

The Provost shall serve as editor and publisher of the *Faculty Handbook*. The faculty shall be informed of all significant changes to the *Faculty Handbook* as they occur and shall be provided with copies. At the beginning of each academic year the Provost shall distribute to all faculty a summary of changes adopted during the preceding academic year.

**F. ARTICLE V. Nominations and Elections**

**Section 1. Nominating Committee**

- a. *Organization.* The Nominating Committee shall consist of three members of the faculty elected for two-year terms. At least two of the three members shall be tenured. The Committee shall elect its own chairperson each year.
- b. *Functions.* The Nominating Committee shall (1) superintend the nominations and elections of faculty to elective committees, (2) recommend to the President members of the faculty to serve as Parliamentarian, Faculty Secretary, and members and conveners of appointive committees, and (3) after due deliberation, recommend to the faculty and/or the President the creation or dissolution of committees.
- c. *Procedures for Conducting Elections.* The Nominating Committee shall prepare and submit at the March faculty meeting of each year, a list of qualified candidates for the Promotion and Tenure Committee, the Faculty Development

Committee, Hearing Committee, Nominating Committee, Faculty Representatives to the Board of Trustees, University Speakers Committee, University Council on Diversity, Strategic Planning and Budgeting Committee, Assessment Committee, and such other elected bodies as may exist or be created. The Nominating Committee shall make a reasonable, good faith effort, as detailed in Chapter III.B.6, to seek 1.5 nominations for each open position. Nominations also may be made from the floor by any faculty member, with the prior approval of the person being so nominated.

Elections to committees and offices may be conducted by electronic ballot. Ballots, whether paper or electronic, shall include the option of voting for write-in candidates. A plurality is sufficient to elect candidates to committees or offices. If an election is conducted at a faculty meeting and the number of candidates is equal to or less than the number of positions to be filled, the presiding officer may request that the candidates be elected by general consent. If there is an objection, the election must proceed by ballot.

When a vacancy occurs on any of the elected committees or positions under its jurisdiction, the Nominating Committee shall conduct a special election to fill the vacancy.

- d. *Reports and Records.* The Nominating Committee shall record minutes of its proceedings, which shall be distributed to the faculty. It shall report the results of regular and special elections as soon as they are available and shall file a written or electronic record of such elections in the office of the Provost. The written record shall be destroyed prior to the next regular faculty election.

## **G. ARTICLE VI. Adoption of Constitution and Amendments**

### **Section 1. Adoption and Effective Date.**

This Constitution shall become effective upon the affirmative vote of a two-thirds majority of those present and entitled to vote at a regular and duly convened meeting of the faculty of the University and the written approval of the President of the University. The vote shall be by secret ballot.

### **Section 2. Amendments and Effective Date.**

Amendments to this Constitution may be proposed by the Promotion and Tenure Committee, the Faculty Development Committee, Curriculum Council, Council on University Programs and Policy, Nominating Committee, Hearing Committee, Assessment Committee, or by any member of the general faculty. Amendments shall be presented to the faculty in writing at least thirty days prior to a vote being taken for their adoption.

Amendments to this Constitution shall become effective upon the affirmative vote of a two-thirds majority of those present and entitled to vote at a regular and duly convened meeting of the faculty of the University and the written approval of the President of the University. The vote shall be by secret ballot.

#### H. ARTICLE VII. Parliamentary Authority

The adopted parliamentary authority shall be the latest edition of *The Standard Code of Parliamentary Procedure*.

#### I. ANNEX I. 1940 Statement of Principles on Academic Freedom and Tenure, AAUP

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to ensure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole.<sup>1</sup> The common good depends upon the free search for truth and its free exposition.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights. **[1]**<sup>2</sup>

Tenure is a means to certain ends; specifically: (1) freedom of teaching and research and of extramural activities, and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

#### Academic Freedom

1. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
2. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. **[2]** Limitations of academic

freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment. **[3]**

3. College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they 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 they are not speaking for the institution. **[4]**

### **Academic Tenure**

After the expiration of a probationary period, teachers or investigators should have permanent or continuous tenure, and their service should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies.

In the interpretation of this principle it is understood that the following represents acceptable academic practice:

1. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.
2. Beginning with appointment to the rank of full-time instructor or a higher rank, **[5]** 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 the 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. **[6]** Notice 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. **[7]**
3. During the probationary period a teacher should have the academic freedom that all other members of the faculty have. **[8]**
4. Termination for cause of a continuous appointment, or the dismissal for cause of a teacher previous to the expiration of a term appointment, should, if

possible, be considered by both a faculty committee and the governing board of the institution. In all cases where the facts are in dispute, the accused teacher should be informed before the hearing in writing of the charges and should have the opportunity to be heard in his or her own defense by all bodies that pass judgment upon the case. The teacher should be permitted to be accompanied by an advisor of his or her own choosing who may act as counsel. There should 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 the teacher's own or from other institutions. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude should receive their salaries for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution.

[9]

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

### **1940 Interpretations**

At the conference of representatives of the American Association of University Professors and of the Association of American Colleges on November 7–8, 1940, the following interpretations of the 1940 Statement of Principles on Academic Freedom and Tenure were agreed upon:

1. That its operation should not be retroactive.
2. That all tenure claims of teachers appointed prior to the endorsement should be determined in accordance with the principles set forth in the 1925 Conference Statement on Academic Freedom and Tenure.
3. If the administration of a college or university feels that a teacher has not observed the admonitions of paragraph 3 of the section on Academic Freedom and believes that the extramural utterances of the teacher have been such as to raise grave doubts concerning the teacher's fitness for his or her position, it may proceed to file charges under paragraph 4 of the section on Academic Tenure. In pressing such charges, the administration should remember that teachers are citizens and should be accorded the freedom of citizens. In such cases the administration must assume full responsibility, and the American Association of University Professors and the Association of American Colleges are free to make an investigation.



## 1970 Interpretive Comments

*Following extensive discussions on the 1940 Statement of Principles on Academic Freedom and Tenure with leading educational associations and with individual faculty members and administrators, a joint committee of the AAUP and the Association of American Colleges met during 1969 to reevaluate this key policy statement. On the basis of the comments received, and the discussions that ensued, the joint committee felt the preferable approach was to formulate interpretations of the Statement in terms of the experience gained in implementing and applying the Statement for over thirty years and of adapting it to current needs.*

*The committee submitted to the two associations for their consideration the following "Interpretive Comments" These interpretations were adopted by the Council of the American Association of University Professors in April 1970 and endorsed by the Fifty-sixth Annual Meeting as Association policy.*

In the thirty years since their promulgation, the principles of the 1940 Statement of Principle on Academic Freedom and Tenure have undergone a substantial amount of refinement. This has evolved through a variety of processes, including customary acceptance, understandings mutually arrived at between institutions and professors or their representatives, investigations and reports by the American Association of University Professors, and formulations of statements by that association either alone or in conjunction with the Association of American Colleges. These comments represent the attempt of the two associations, as the original sponsors of the 1940 Statement, to formulate the most important of these refinements. Their incorporation here as Interpretive Comments is based upon the premise that the 1940 Statement is not a static code but a fundamental document designed to set a framework of norms to guide adaptations to changing times and circumstances.

Also, there have been relevant developments in the law itself reflecting a growing insistence by the courts on due process within the academic community which parallels the essential concepts of the 1940 Statement; particularly relevant is the identification by the Supreme Court of academic freedom as a right protected by the First Amendment. As the Supreme Court said in *Keyishian v. Board of Regents*, 385 U.S. 589 (1967), "Our Nation is deeply committed to safeguarding academic freedom, which is of transcendent value to all of us and not merely to the teachers concerned. That freedom is therefore a special concern of the First Amendment, which does not tolerate laws that cast a pall of orthodoxy over the classroom."

The numbers refer to the designated portion of the 1940 Statement on which interpretive comment is made.

**[1]** The Association of American Colleges and the American Association of University Professors have long recognized that membership in the academic profession carries with it special responsibilities. Both associations either separately or jointly have consistently affirmed these responsibilities in major policy statements, providing guidance to professors in their utterances as citizens, in the exercise of their responsibilities to the institution and to students, and in their conduct when resigning from their institution or when undertaking government-sponsored research. Of particular relevance is the Statement on Professional Ethics adopted in 1966 as Association policy. (A revision, adopted in 1987, may be found in AAUP, Policy Documents and Reports, 10th ed. [Washington, D.C., 2006], 171–72.)

**[2]** The intent of this statement is not to discourage what is “controversial.” Controversy is at the heart of the free academic inquiry which the entire statement is designed to foster. The passage serves to underscore the need for teachers to avoid persistently intruding material which has no relation to their subject.

**[3]** Most church-related institutions no longer need or desire the departure from the principle of academic freedom implied in the 1940 Statement, and we do not now endorse such a departure.

**[4]** This paragraph is the subject of an interpretation adopted by the sponsors of the 1940 Statement immediately following its endorsement which reads as follows:

If the administration of a college or university feels that a teacher has not observed the admonitions of paragraph 3 of the section on Academic Freedom and believes that the extramural utterances of the teacher have been such as to raise grave doubts concerning the teacher’s fitness for his or her position, it may proceed to file charges under paragraph 4 of the section on Academic Tenure. In pressing such charges, the administration should remember that teachers are citizens and should be accorded the freedom of citizens. In such cases the administration must assume full responsibility, and the American Association of University Professors and the Association of American Colleges are free to make an investigation.

Paragraph 3 of the section on Academic Freedom in the 1940 Statement should also be interpreted in keeping with the 1964 Committee A Statement on Extramural Utterances, which states inter alia: “The controlling principle is that a faculty member’s expression of opinion as a citizen cannot constitute grounds for

dismissal unless it clearly demonstrates the faculty member's unfitness for his or her position. Extramural utterances rarely bear upon the faculty member's fitness for the position. Moreover, a final decision should take into account the faculty member's entire record as a teacher and scholar."

Paragraph 5 of the Statement on Professional Ethics also deals with the nature of the "special obligations" of the teacher. The paragraph reads as follows:

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

Both the protection of academic freedom and the requirements of academic responsibility apply not only to the full-time probationary and the tenured teacher, but also to all others, such as part-time faculty and teaching assistants, who exercise teaching responsibilities.

**[5]** The concept of "rank of full-time instructor or a higher rank" is intended to include any person who teaches a full-time load regardless of the teacher's specific title.<sup>3</sup>

**[6]** In calling for an agreement "in writing" on the amount of credit given for a faculty member's prior service at other institutions, the Statement furthers the general policy of full understanding by the professor of the terms and conditions of the appointment. It does not necessarily follow that a professor's tenure rights have been violated because of the absence of a written agreement on this matter. Nonetheless, especially because of the variation in permissible institutional practices, a written understanding concerning these matters at the time of appointment is particularly appropriate and advantageous to both the individual and the institution.<sup>4</sup>

**[7]** The effect of this subparagraph is that a decision on tenure, favorable or unfavorable, must be made at least twelve months prior to the completion of the probationary period. If the decision is negative, the appointment for the following year becomes a terminal one. If the decision is affirmative, the provisions in the 1940 Statement with respect to the termination of service of teachers or investigators after the expiration of a probationary period should apply from the date when the favorable decision is made.

The general principle of notice contained in this paragraph is developed with greater specificity in the Standards for Notice of Nonreappointment, endorsed by the Fiftieth Annual Meeting of the American Association of University Professors (1964). These standards are:

Notice of nonreappointment, or of intention not to recommend reappointment to the governing board, should be given in writing in accordance with the following standards:

1. Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
2. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
3. At least twelve months before the expiration of an appointment after two or more years in the institution.
4. Other obligations, both of institutions and of individuals, are described in the Statement on Recruitment and Resignation of Faculty Members, as endorsed by the Association of American Colleges and the American Association of University Professors in 1961.

**[8]** The freedom of probationary teachers is enhanced by the establishment of a regular procedure for the periodic evaluation and assessment of the teacher's academic performance during probationary status. Provision should be made for regularized procedures for the consideration of complaints by probationary teachers that their academic freedom has been violated. One suggested procedure to serve these purposes is contained in the Recommended Institutional Regulations on Academic Freedom and Tenure, prepared by the American Association of University Professors.

**[9]** A further specification of the academic due process to which the teacher is entitled under this paragraph is contained in the Statement on Procedural Standards in Faculty Dismissal Proceedings, jointly approved by the American Association of University Professors and the Association of American Colleges in 1958. This interpretive document deals with the issue of suspension, about which the 1940 Statement is silent.

The 1958 Statement provides: "Suspension of the faculty member during the proceedings is justified only if immediate harm to the faculty member or others is threatened by the faculty member's continuance. Unless legal considerations forbid, any such suspension should be with pay." A suspension which is not

followed by either reinstatement or the opportunity for a hearing is in effect a summary dismissal in violation of academic due process.

The concept of “moral turpitude” identifies the exceptional case in which the professor may be denied a year’s teaching or pay in whole or in part. The statement applies to that kind of behavior which goes beyond simply warranting discharge and is so utterly blameworthy as to make it inappropriate to require the offering of a year’s teaching or pay. The standard is not that the moral sensibilities of persons in the particular community have been affronted. The standard is behavior that would evoke condemnation by the academic community generally.

**Endnotes:**

<sup>1</sup> The word “teacher” as used in this document is understood to include the investigator who is attached to an academic institution without teaching duties.

<sup>2</sup> Boldface numbers in brackets refer to Interpretive Comments that follow.

<sup>3</sup> For a discussion of this question, see the “Report of the Special Committee on Academic Personnel Ineligible for Tenure,” Policy Documents and Reports, 9th ed. (Washington, D.C., 2001), 88–91.

<sup>4</sup> For a more detailed statement on this question, see “On Crediting Prior Service Elsewhere as Part of the Probationary Period,” Policy Documents and Reports, 10th ed. (Washington, D.C., 2006), 55–56.

**J. ANNEX II. Excerpts from the Amended Bylaws of the Board of Trustees**

**ARTICLE V. COMMITTEES OF THE BOARD**

*Section 2. Committee on Academic Affairs*

*2.01 Functions*

- a. This Committee shall constantly review the academic affairs of the University, and shall develop and recommend to the Board policies in regard thereto.
- b. The Committee shall review and recommend to the Board all faculty advancements in rank and tenure, and all requests for leaves of absence.
- c. The Committee shall function as the reviewing body for all appeals from decisions of a faculty Hearing Committee established in accordance with procedures outlined in the 1940 *Statement of Principles on Academic Freedom and Tenure* of the AAUP. The Committee shall promptly report

its decisions to the Board for final review by the Board.

- d. The Committee shall make recommendations to the Board for the granting of honorary degrees, and for authorizing the granting of regular degrees *in cursu*. It shall review and make recommendations regarding the proposed offering of any additional kind of earned degree, either undergraduate or graduate, or the organization of any new department, division, or school within the University.

### *2.02 Membership and Organization*

Approximately one-fourth of the members of the Board shall be assigned by the Board President to serve on the Committee on Academic Affairs. The Board President shall also appoint the chairperson, who shall be a member of the Executive Committee.

The Provost and Dean of the Faculty of the University shall sit without vote with this Committee, shall report to it regularly concerning the academic program and shall serve as liaison between the Committee and the President of the University.

Except when the Committee is in executive session, the two elected Faculty Representatives to the Board shall be welcome visitors to this Committee.

*2.03* There shall be a Subcommittee on Honorary Degrees consisting of at least three members of the Committee appointed by the chairperson plus the President of the University, the academic administrator and the two elected Faculty Representatives. The President of the University shall serve as chairperson of this Subcommittee.

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## A. General Faculty Meeting Procedures

### 1. Call of the Meeting

The President or the President's designee shall preside at all meetings of the General Faculty called in accordance with the Faculty Constitution.

### 2. Preparation of the Agenda

The Chair of CUPP shall, in consultation with the President and Provost, prepare the agenda for General and Special Meetings of the faculty. The Chair of CUPP may recommend deviation from the order indicated in (3) below to facilitate faculty elections or lengthy deliberations leading to votes, or inclusion of a question for faculty discussion. The Associate Provost, Associate Deans, chairs of elected councils and committees, chairs of appointed committees and task forces, and members of the faculty may submit items to appear on the agenda. Key elements of committee and administrative agendas, reports, and/or documents shall be posted online to the General Faculty Meeting website at least two business days in advance of any General or Special Meeting. Any subsequent changes to these materials will be highlighted during the report at the faculty meeting and any additional documents will be included in the official record of the meeting.

### 3. Order of the Agenda

The order of business for General and Special Meetings of the faculty shall be as follows:

- Call to order
- Approval of minutes of previous meeting
- Consent agenda
- Reports and motions
  - Discussion of Faculty Question
  - Council on University Programs and Policy
  - Curriculum Council
  - Promotion and Tenure Committee
  - Faculty Development Committee
  - Nominating Committee
  - Assessment Committee
  - Other committees
- Old business
- New business
- Administrative Reports



- President
- Provost
- Associate Provost
- Associate Deans
- Adjournment

#### 4. Conduct of the Discussion

Discussion at General and Special Meetings of the faculty shall be free and open. The President or the President's designee shall recognize any faculty member desiring to speak on the matter under consideration. Individuals having once spoken will not be allowed to speak again until all others wishing to speak on the matter have been called on.

#### 5. Consent Agenda

Any items of a routine or repetitious nature may be placed on the consent agenda by any council or committee. An item on the consent agenda may be removed upon the oral request of any member of the faculty prior to the vote. Any item removed from the consent agenda shall be considered at the time of the report of the council or committee to which it pertains. The consent agenda shall be approved by general consent of the faculty.

#### 6. Voting Procedures

Except where secret ballots are called for or are requested by any member, voting shall be by a show of hands. Upon request by any member the numerical results of votes taken during faculty meetings shall be recorded in the minutes.

#### 7. Postponing a Motion

Any member may postpone the vote on a motion to the next meeting simply by making this request. This request requires no second and no vote. No member may use this request to postpone the vote of the same motion at any later meeting. This request may be overridden by the adoption of a motion to suspend the rules after the request has been made.

### B. Procedures and Policies for Standing Committees

#### 1. Council on University Programs and Policy Procedures (CUPP)

- *Procedures for Conducting Elections.* The out-going CUPP representative shall call for nominations by February 1. This call will be repeated to the general

faculty by the CUPP Chair at the February faculty meeting. Nominations will be accepted until the second Monday of February. All nominated candidates will be included on the ballot once the CUPP representative verifies that the candidates are willing to serve. The slate of nominees will be announced on the second Monday in February. For a period of two days, additions and/or deletions to the announced slate will be accepted and announced as they occur, after which the final slate will be announced. Members of the academic unit will have until the third Monday of February to cast their votes. If only one individual is nominated, that individual will be deemed the CUPP representative. The election should be concluded and the results should be announced by the outgoing CUPP representative to both the academic unit and the general faculty by the end of February.

- *Election of Officers.* At the changeover meeting in the spring CUPP will elect a Chair and a Vice Chair from the elected faculty representatives.
- *Duties of the Chair.* The Chair's term will begin immediately after election. The CUPP Chair will attend relevant meetings with campus administration and will negotiate for reasonable compensation for any summer work. The Chair shall prepare an agenda for each meeting, providing time for both administrative and faculty items to be included. The Chair also represents the Council to the faculty in hearings and faculty meetings wherein reports should be given regularly including those on strategic planning and other matters. The Chair or his/her designee serves on the President's Cabinet and attends meetings of the Committee on Business Affairs and the Executive Committee of the Board of Trustees. Based upon the recommendation of CUPP members, the CUPP Chair shall inform the President's office of the specific standing committee each of the Representatives to the Board will attend for the year. In the event the Chair of CUPP is also an elected at-large Representative to the Board, CUPP shall elect another Representative from among its members. The Chair and Vice Chair will meet regularly throughout the academic year with the Chair and Vice Chair of Curriculum Council to ensure dialogue between the two groups, especially regarding strategic curricular planning and other issues that overlap between the two committees.
- *Duties of the Vice Chair.* The Vice Chair will assume the duties of Chair in the absence of the Chair. The Vice Chair will aid the Chair in preparation for meetings and hearings and will usually join the Chair when meeting with members of the Administration individually. The Vice Chair will be responsible for administering the overhead computer display at CUPP meetings and Faculty Meetings.
- *Meetings and Regular Structure.* CUPP will invite the President, Provost and other members of the administration on a regular basis with the purpose of

discussing strategic planning and major policy issues. The agenda will be prepared by the Chair in consultation with the Vice Chair. CUPP representatives to the Strategic Planning and Budgeting Committee should bring relevant issues back to CUPP for discussion and, in turn, should forward appropriate issues raised in CUPP to the SPBC. Examples of strategic planning issues include resource allocation, planning for physical resources, major curricular shifts, enrollment trends and targets, financial projections, and setting budget priorities. Annually, the Provost will meet with CUPP to discuss the Instruction and Library budget and the university's faculty salary policy. CUPP may request other faculty, staff, administrators, or students be present when strategic planning involving areas of their particular responsibility or concern are being discussed.

CUPP may appoint task forces for projects requiring intensive study or detailed work that would detract from the ongoing policy and planning activities of CUPP. In consultation with the administration, CUPP will also compile the list of faculty representatives to serve on all administratively-formed committees, as outlined in the *Faculty Constitution*.

- *Executive Session.* Some items discussed in CUPP are appropriately kept confidential; however, executive session should neither stifle open exchange of information nor give the appearance of doing so. Executive sessions should be for a single topic, have a clearly defined start and end, and have a clearly defined purpose. Appropriate reasons for executive session might include personnel policy matters dealing with individuals, matters under litigation, or delicate financial information.
- *Minutes.* The job of preparing minutes of meetings will rotate among the elected faculty representatives (except for the Chair and Vice Chair) in alphabetical order. As timely circulation of the minutes leads to better feedback on CUPP discussions from the faculty, drafts of minutes should be prepared for the next meeting of CUPP. CUPP may share the minutes with visiting administrators for their review and suggested clarifications; however final approval of the minutes resides with CUPP.
- *Procedures for voting on tenure lines proposal.* Each CUPP member is given as many votes as the number of tenure lines provided by the Provost. CUPP members may not vote on proposals from their home departments and must recuse themselves from discussion of those proposals. After discussion of the proposals, voting will be simultaneous and by secret ballot. Bullet voting (voting for fewer proposals than the number of votes allotted) is permitted. Cumulative voting (voting multiple times for the same proposal) is not permitted. The total number of votes for a proposal is divided by the number of members eligible to vote for that proposal. The proposals are then ranked

based on the mean (average) scores. Proposals that receive the highest averages will be recommended to the Provost as approved. Ties can be broken in one of two ways: either the committee may use preference voting to rank tied proposals, or the committee may decide to recommend more or fewer proposals for approval than can be filled.

CUPP will determine the number of proposals to be recommended for conditional approval. In order to determine which proposals are recommended for conditional approval, CUPP will use the same voting procedures as above. Proposals that are neither approved nor conditionally approved will be deemed postponed unless 2/3 of CUPP members eligible to vote on that proposal vote, by secret ballot, to deny the request.

## 2. Promotion and Tenure Committee Procedures

- *Election of Officers.* The Promotion and Tenure Committee (PAT) shall convene for its organizational meeting within twenty-one (21) days of its election. The Chair from the preceding year shall preside. The committee at this time shall elect its Chair and its Vice Chair. The Provost shall sit with the Promotion and Tenure Committee during all of its deliberations.
- *Duties of the Chair.* The Chair is responsible for setting the calendar for hearing of cases and the agendas for individual meetings of the Committee. The Chair also represents the Committee in faculty meetings wherein reports should be given regularly. At the conclusion of deliberations, the Chair (with the assistance of the Vice Chair) will draft letters to individual faculty members stating the Committee's recommendations regarding tenure and advancement. Letters are also drafted which summarize Committee response to major pre-tenure reviews and annual review of probationary faculty. Based on the recommendations of the PAT members, the Chair shall inform the President's office of the specific recommendations of individual faculty members regarding tenure and advancement.
- *Duties of the Vice Chair.* The Vice Chair will assume the duties of the Chair in the absence of the Chair. The Vice Chair will aid the Chair with all of the responsibilities outlined above. Specifically, the Vice Chair is available to assist with the writing of letters to faculty regarding Committee decisions and evaluations.
- *Duties of the Committee Members.* All Committee members are expected to read and take notes about all cases under consideration and to participate in discussions as noted under Conduct of Business.

As the AAUP's Statement on Professional Ethics (Ch. VI) notes:

As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues.

Members of the committee who believe that they have any bias, personal or otherwise, that would preclude them from rendering an objective judgment of a colleague must recuse themselves from the discussion and the vote on that candidate's case.

A candidate's supervisor who serves on the committee must recuse her/himself from the discussion and the vote on that candidate's case.

Deliberations of the Promotion and Tenure Committee are held in strict confidence. To protect against inadvertent breaches of confidentiality, members are urged to refer all questions from faculty regarding specific PAT cases to the Chair or Provost. The President, the Provost, or the Chair may convene the Committee on such other occasions as deemed appropriate.

- *Meetings and Regular Structure.* The Promotion and Tenure Committee will be called into session by its Chair during the fall semester each year. The Chair will suggest an agenda for the meetings and schedule future meetings. A major part of the Committee's work is reviewing files of faculty under consideration for tenure and promotion and making recommendations to the President. The Committee will also deliberate on candidates for the University Teaching Award for the purpose of making a recommendation to the President.
- *Conduct of Business.* All members of the Committee will review thoroughly the files of faculty under consideration for tenure, promotion, and reappointment. The Chair [or his/her designee] will then invite discussion among Committee members for the purpose of arriving at a recommendation to the President. Any member of the Committee, with the exception of the Provost, who is chiefly responsible for the written evaluation of a faculty member will be excused from the meeting when the faculty member's file is presented and discussed. Any Committee member under consideration for annual review will be excused from the meeting when his/her file is presented and discussed. As a matter of working policy, PAT Committee members have always attempted to reach a consensus on all recommendations for tenure and promotion. If, after much deliberation, it is determined that a consensus is not possible and if the Committee is *evenly* divided, PAT has established the following policy: a

tie vote will result in a negative recommendation to the President for tenure and/or promotion. In the event that the Committee is divided, the President may informally poll the members of the Committee to ascertain their positions.

The Promotion and Tenure Committee will operate in accordance with the principle that the faculty member and supervisor must make a case *for* tenure, reappointment, or promotion, and the Committee will give due regard to the case presented to it. Materials to be included for annual review and for major pre-tenure review as well as for promotion and tenure are itemized in the *Evaluation Materials* (See IV.C.3). The faculty member will have the opportunity to see and respond in writing to all materials in his/her file. She/he will have up to one week to respond in writing if desired. If the faculty member requires time to respond that extends past the deadline for final submission of materials, she/he must notify the Provost's Office in writing to request up to one week's additional time to respond. Upon receipt of the written request, this extension will be automatically granted.

Before the deliberation of any cases for tenure and promotion, the Chair will lead a discussion of the criteria outlined for that review period. After the completion of deliberation for all of the cases in each category, the Committee will reflect on the consistency with which the criteria were applied to all cases within those categories (i.e., a "norming" of deliberation of cases).

The Promotion and Tenure Committee will respond in writing to all faculty whose files they have reviewed. The Committee may make suggestions to the Provost for counseling the faculty member in question.

- For annual reviews the Committee will note any serious concerns in its letter. If none are apparent, the faculty members should receive a brief supportive letter highlighting areas for improvement for the next evaluation period. The Committee will respond in one of two ways: satisfactory progress or unsatisfactory progress.
- For faculty presenting a more detailed case for major pre-tenure review, the Committee will respond in one of the three ways: A favorable review indicates that thus far, from the materials presented, the faculty member appears to be progressing smoothly toward tenure. A mixed review indicates that there is at least one area of the faculty member's performance that needs greater development if the individual is to continue favorable progress toward tenure. A negative review indicates that the Committee does not believe that tenure will result upon the completion of the probationary period. In the event of a negative major pre-tenure review, the Committee will recommend that the Provost/Dean of the Faculty issue a terminal contract in accordance with AAUP guidelines.

- Letters to faculty under consideration for tenure and promotion will report the recommendation of the Committee. If the Committee recommends against tenure, it will inform the candidate of its recommendations. It will furnish reasons for its recommendation to the candidate upon request.
- *Reviews of Committee Recommendations.* A faculty member considering filing a Petition of PAT due process violations should first consult with the Provost to discuss his or her concerns. If this meeting fails to reach a mutually acceptable conclusion, the faculty member should then proceed to filing a written Petition with the Hearing Committee Chair. This Petition should be filed within 60 calendar days of the official notification by the PAT Committee regarding its recommendation to the President.

The Hearing Committee shall examine the faculty member's claim of lack of due process. In all cases, the Hearing Committee shall interview in confidence the Provost and the Chair of PAT in order to afford the Committee opportunity to respond to the claim of the faculty member requesting the review. Should the Hearing Committee judge the complaining faculty member's claim to be justified, it shall notify the Chair of PAT of its findings and recommend that PAT rehear the original case. The Hearing Committee shall also report its findings to the President. In all cases, the Hearing Committee shall inform the affected faculty member either that it has recommended that PAT rehear the case or that the Hearing Committee has found insufficient grounds for such a recommendation.

The Hearing Committee shall keep written records of its deliberations, which, together with all written materials supplied by the affected faculty member or by PAT, shall be deposited in the Office of the Provost upon the conclusion of the Hearing Committee's deliberations. In no case shall the Hearing Committee substitute its judgment of the merits of the case for that of PAT.

Confidentiality of PAT's earlier deliberations shall be preserved.

### 3. Faculty Development Committee Procedures

- *Election of Officers.* The Faculty Development Committee will convene for its organizational meeting within twenty-one (21) days of its election. The Chair from the preceding year will preside. If there is no Chair, the Associate Dean for Scholarly and Creative Work will preside. The Committee at this time will elect its officers, which will consist of a Chair and a Vice Chair. The Associate Dean for Scholarly and Creative Work may sit with the Faculty Development Committee at any meeting if s/he so chooses.
- *Meetings and Regular Structure.* The Faculty Development Committee will

meet regularly with the Associate Dean for Scholarly and Creative Work and/or Provost to discuss policies and procedures related to faculty development, including but not limited to faculty professional travel funding, sabbatical and pre-tenure leaves, research-related course release programs, and artistic and scholarly development grants. The Committee may make recommendations to the Associate Dean for Scholarly and Creative Work and Provost about the creation or discontinuation of any program related to faculty development. Annually, the Committee will also publish, in cooperation with the Associate Dean, the *Faculty Development Handbook* in a timely manner; that *Handbook* will outline policies, application procedures, and deadlines related to all professional travel, leave, course release, and University-funded or -administered grant programs. Deliberations of the Faculty Development Committee about all grant and leave proposals are confidential.

- *Conduct of Business.* Three times a year, according to a schedule published in the *Faculty Development Handbook*, the Faculty Development Committee will review all applications from individual faculty members or groups of faculty for University-funded or -administered research grants. Its reviews will be based on the merits of the proposals in accordance with guidelines and criteria published in the *Faculty Development Handbook* or announced to the General Faculty through the regularly published minutes of the Committee. The Faculty Development Committee will operate in accordance with the principle that applicants and supervisors must make a case for proposals, and the Committee will in all cases give due regard to the quality of the proposal presented. In conducting its reviews, the Faculty Development Committee may establish procedures whereby members of other elected or appointed faculty committees with special expertise in areas for which proposals have been solicited (e.g., International & Global Studies, Information Technology, Shared Curriculum, and so forth) participate with the Faculty Development Committee members in proposal review. With the exception of the Associate Dean for Scholarly and Creative Work, any member of the Committee who is chiefly responsible for the written evaluation of a faculty member's proposal will be excused from the meeting when that evaluation and the faculty member's proposal are discussed.

During the Committee's deliberations, the Associate Dean for Scholarly and Creative Work will not rate proposals as a member of the Committee. Instead, he/she will sit with the Faculty Development Committee to provide the following assistance:

- helping the Committee see how to maximize the combination of available internal and external resources to provide the most faculty support possible
- explaining the terms of all funding options and helping the Committee



interpret whether a particular proposal qualifies for funding from a particular source of support

- providing, when asked, copies of the reports of previously funded projects
- answering questions about general University policies and procedures that impinge upon proposed projects
- assisting the Committee in interpreting published guidelines for evaluating proposals

The Faculty Development Committee will recommend to the Associate Dean for Scholarly and Creative Work grants that it wishes to be fully or partially funded, and the Associate Dean will dispense available funds to successful applicants according to established University policies and procedures for accounting for such funds. Applicants will be notified of the Committee's decisions through letters signed jointly by the Chair of the Faculty Development Committee and the Associate Dean for Scholarly and Creative Work.

In the fall semester of each year, according to criteria, procedures, and schedules published in the *Faculty Development Handbook*, the Faculty Development Committee will review all applications for sabbatical and pre-tenure leaves and for senior faculty course releases. With the exception of the Associate Dean for Scholarly and Creative Work, any member of the Committee who is chiefly responsible for the written evaluation of a faculty member's proposal will be excused from the meeting when that evaluation and the faculty member's proposal are discussed. The Associate Dean will not rate leave proposals as a committee member. He/she will sit with the committee to provide information on University policies and procedures relating to proposed projects and to assist in interpreting published guidelines. In the case of sabbatical and pre-tenure leaves, the committee will also meet with the Provost to discuss its final reviews of all proposals. Applicants are notified of the results of the Faculty Development Committee's deliberations in a letter signed jointly by the Chair of the Faculty Development Committee and the Associate Dean for Scholarly and Creative Work. The Provost will then consult with the President before making final leave recommendations to the Board of Trustees at its February meeting.

#### 4. Curriculum Council Procedures

- *Procedures for Conducting Elections.* The out-going CC representative shall call for nominations by February 1. This call will be repeated to the general faculty by the CC Chair at the February faculty meeting. Nominations will be accepted until the second Monday of February. All nominated candidates will be included on the ballot once the CC representative verifies that the candidates are willing to serve. The slate of nominees will be announced on the

second Monday in February. For a period of two days, additions and/or deletions to the announced slate will be accepted and announced as they occur, after which the final slate will be announced. Members of the academic unit will have until the third Monday of February to cast their votes. If only one individual is nominated, that individual will be deemed the CC representative. The election should be concluded and the results should be announced by the outgoing CC representative to both the academic unit and the general faculty by the end of February.

- *Election of Officers.* The Chair of the Council shall be elected at the April changeover meeting when new members join the Council. The vote shall be by secret ballot and take place after the departing members, with the exception of the outgoing Chair, leave the meeting. For the changeover meeting, a quorum consists of five faculty members. If one or two Council members must be absent from the changeover meeting, the outgoing chair will ask them for nominations in advance of the meeting and, if possible, arrange for them to vote remotely. For all other purposes, four faculty members constitute a CC quorum.

Each Council may determine whether candidates are identified by open nomination or nominating ballot. In either case, a member who wishes not to serve must so indicate prior to the vote. A separate nomination and ballot shall be used for each position to be filled. The outgoing Chair presides over the election of the new Chair. Election of the other officers (for example a Vice Chair) is presided over by the new Chair.

- *Meetings and Regular Structure.* Regular meetings shall be scheduled at the beginning of each semester; additional meetings may be called by the Chair as needed.
- *Conduct of Business.* A member other than the Chair of the Council, acting as secretary, shall record minutes of each meeting, present them to Curriculum Council for approval at the next meeting and subsequently distribute copies to all faculty.

Through the Chair, the Council shall report to the faculty at the next regularly scheduled Faculty Meeting. All proposals are presented in the faculty agenda in summary form.

For items to be discussed and voted upon at faculty meetings (new majors or minors, deletion of major or minors, changes in degree requirements, and any other curricular proposals that affect the University as a whole), Curriculum Council recommends approval or disapproval. In the event Curriculum Council is divided, the proposal may be presented with recommendation.

For items to be handled on the Consent Agenda at Faculty Meetings (all other

requests including new courses, deletion of courses, all numbering changes, changes in units, courses taught as travel courses for the first time, cross-listing, change in course title, changes in course description, changes in major or minor requirements), the report consists of action taken by Curriculum Council.

The Chair and Vice Chair will meet regularly throughout the academic year with the Chair and Vice Chair of CUPP to ensure dialogue between the two groups, especially regarding strategic curricular planning and other issues that overlap between the two committees.

The Chair is responsible for providing an accurate record of Council activity to the Office of the Provost at the end of the Council year.

- *CC Deadlines.* All curricular proposals and student proposals for special interdisciplinary or contract majors and minors must be submitted to the Associate Dean for Curriculum and Instruction on forms provided by the Curriculum Council and published in the Curriculum Development Handbook. Curricular proposals submitted by academic units must be signed by the appropriate administrator of all academic units affected by the proposal. May Term proposals shall be submitted to the Associate Dean for Curriculum and Instruction for the same review process as applies to fall and spring courses. May Term courses that are exempt from the review process procedure include both special topics courses (typically numbered 170, 270, or 370) and explicitly experimental courses (typically numbered 175, 275, or 375) that are not requesting Shared Curriculum credit. Proposals for special interdisciplinary majors/minors must be signed by the chairs of at least two departments or programs involved in the proposed program.

Changes to be included in the Spring Semester and May Term Program of Classes must be submitted by the second week in September since the last opportunity for approval by the faculty is the October faculty meeting.

Changes proposed to be included in the next year's University Catalog must be submitted by the first week of November since the last opportunity for approval by the faculty is the December Faculty Meeting.

Changes proposed to be included in the Fall Programs of Classes must be submitted by the third week of February since the last opportunity for approval by the faculty is the March Faculty Meeting.

Upon receipt of the completed forms, the Associate Dean for Curriculum and Instruction shall send copies of all requests to all members of the Council.

- *Reports and Records.* The Council shall securely retain or dispose of records according to the Records Management Policy for the Curriculum Council in

the Appendix to Chapter III.B.

- *Executive Session.* Executive sessions should be for a single topic, have a clearly defined start and end, and have a clearly defined purpose. Appropriate reasons for entering an executive session might include discussions of delicate financial information, curricular staffing issues dealing with individuals, or curricular matters under litigation. The Council shall maintain minutes of all executive session discussions in accordance with the Records Management Policy in the Appendix to Chapter III.B.

**Appendix**

Document				Action to be Taken		
Records Group	Official Copy Holder	Retention Period	Retention Event	Secure Shred/ Delete Electronic	Permanently Retained	Archives/ Access
Agenda, full semester	Committee	Current	--	Chair/end of AY	--	--
Agenda, meetings	Committee	Current	--	Chair/end of AY	--	--
Proposals and revised proposals	Associate Dean for Curriculum & Instruction	Current	Upon approval of committee	Associate Dean for Curriculum & Instruction	--	--
Working and reference documents related to carryover agenda	Committee	Current	--	Chair/end of academic year	Shared with next chair	--
Minutes – public – draft	Committee	Current	--	Chair/end of academic year	--	--
Minutes – executive – draft	Committee	Current	--	Chair/end of academic year	--	--
Minutes – public – final	Committee	Permanent	Upon distribution	--	University Archives	Retained in a public collection
Minutes – executive -final	Committee	Current	Upon approval of committee	Chair/end of academic year	--	--

Definitions from "Records Management at Illinois Wesleyan University":

Official copy holder: office with responsibility for following the retention schedule

Permanent: official copy will not be destroyed; suggest transfer to Archives after no more than 10 years in the official copy holder's office  
 Current: retain only for the current fiscal or academic year

-- : no action necessary

Notes:

\*Physical Plant has contract, process in place for secure shredding.

\*\*Timeline and responsibility for disposing of electronic documents created by Provost's Office will be established.

Guidelines above apply to documentation regardless of format (e.g., electronic, print)

## 5. Hearing Committee Procedures

- a. *Election of Officers.* The Hearing Committee shall convene for its organizational meeting within twenty-one days of its election. The Chair of the Hearing Committee from the preceding year shall preside over the election of the new Chair. This election of the new Chair shall be by secret ballot of the new members of the Hearing Committee.
- b. *Purpose.* The Hearing Committee, as elected by the faculty body, serves as the faculty's voice in mediating confidential matters involving faculty members. There are four types of cases heard by the Hearing Committee:
  - 1) *Informal Confidential Mediation.* A Mediation Subcommittee of the Hearing Committee can employ a variety of techniques to informally resolve cases involving complaints by or against members of the faculty. This confidential mediation is designed to help those in dispute reach a voluntary solution that is satisfactory to all involved parties. *(See section a below.)*
  - 2) *Formal Grievance.* The Hearing Committee appoints a Hearing Panel that systematically considers the merits of a formal grievance involving members of the faculty or administration. The Hearing Panel issues findings and recommendations to the President and the parties to the grievance. *(See section b below.)*
  - 3) *Review of PAT Procedures.* At the request of a faculty member, the Hearing Committee appoints a Hearing Panel to review procedures of the Promotion and Tenure Committee. In these cases, the Hearing Committee only considers whether the Promotion and Tenure Committee followed due process and does not consider the merit of a decision by PAT. *(See section c below.)*
  - 4) *Dismissal for Cause.* The Hearing Committee reviews evidence potentially leading to the dismissal of a tenured or untenured faculty member before the end of the specified contract term. The recommendation of the Hearing Committee is submitted to the President and the faculty member *(See section d below.)*

The Hearing Committee also serves as the faculty's voice in mediating confidential matters involving adjunct faculty members. There are three types of cases heard by the Hearing Committee regarding adjunct faculty:

- 1) *Informal Confidential Mediation.* A Mediation Subcommittee of the Hearing Committee can employ a variety of techniques to informally resolve cases involving complaints by or against adjunct faculty. This confidential mediation is designed to help those in dispute reach a voluntary solution that is satisfactory to all involved parties. The procedures for informal confidential mediation brought

by adjunct faculty is the same as for full-time faculty members. (*See section a. below.*)

- 2) **Formal Grievance.** The Hearing Committee appoints a Hearing Panel that systematically considers the merits of a formal grievance brought by an adjunct faculty member. As stated in Article III.5b of the Constitution, such grievances will typically involve issues related to academic freedom, professional ethics, or due process. The relevant due process provisions for adjunct faculty are the following: written terms and conditions of appointments, modifications, and extensions; a written statement of reasons for involuntary termination during a period of appointment and an opportunity to be heard before a duly constituted committee prior to such a termination; and, if the faculty member makes a prima facie case of an academic freedom violation or improper discrimination, a statement of reasons for nonreappointment and a hearing before a duly constituted faculty committee. The Hearing Panel issues findings and recommendations to the President and the parties to the grievance. The procedures for formal grievance hearings brought by an adjunct faculty member is the same as for full-time faculty members (*See section b. below.*)
- 3) **Dismissal for Cause.** The Hearing Committee reviews evidence potentially leading to the dismissal of an adjunct faculty member before the end of the specified contract term. The recommendation of the Hearing Committee is submitted to the President and the faculty member. The procedure for dismissal for cause hearings against regarding an adjunct faculty member is the same as for full-time faculty members (*See section d. below.*)
- 4) **Procedural Statements**

***a. Informal Procedures for Complaint Resolution***

The Hearing Committee provides a process for informally resolving complaints brought by faculty members against other faculty members or members of the administration.

- o Use of the informal process is optional.
- o The Petitioner need not have pursued all the avenues of grievance resolution stipulated for a formal grievance hearing before using the informal process.
- o This process may not be used by members of the administration above the level of department chair or school director.
- o On receipt of a written letter signed by the complaining faculty member and requesting use of the informal procedures for complaint resolution, the Hearing Committee Chair will appoint a Mediation Subcommittee, composed of three members from the Hearing Committee. Membership on

Mediation Subcommittees shall rotate among Hearing Committee members. Each Mediation Subcommittee will elect its own Chair.

- o The Mediation Subcommittee will be autonomous, serving independently of other institutional structures and reporting only to the Petitioner(s) and Respondent(s), except in such cases where the Subcommittee and all parties deem that involvement of other persons or structures is necessary to bring about a fair and/or amicable resolution to the Petition.
- o The Mediation Subcommittee will be flexible in its manner of resolving issues raised by the Petitioner, providing mediation or non-binding arbitration, as agreed upon by the parties.
- o The Petitioner (s) and Respondent(s) will have equal access to the Mediation Subcommittee.
- o The proceedings of the Mediation Subcommittee will be confidential.
- o No findings or deliberations of a Mediation Subcommittee may be used in a formal hearing by a Hearing Panel. If the Petitioner or Respondent wishes to present arguments and/or evidence to the Hearing Panel for a formal grievance that were advanced during informal proceedings by a Mediation Subcommittee, he or she must again present such arguments and evidence as if the informal proceeding had not taken place.
- o These procedures are not intended to bypass or circumvent any procedures for resolving grievances now specified in the Faculty Constitution or Faculty Handbook. Bringing a complaint to a Mediation Subcommittee will not foreclose the possibility of bringing a grievance before the Hearing Committee for a formal hearing. If a complaint rises to the level of a grievance and a formal hearing becomes necessary, the Hearing Committee must provide for such a hearing five members or replacements that have had no prior involvement in the case.
- o These procedures were established by the Hearing Committee on March 30, 2006, and approved by the general faculty on April 17, 2006.

#### ***b. Formal Procedures for Hearing Grievances***

The policies and procedures listed here reflect the spirit of the procedures listed in the *American Association of University Professors Policy Documents and Reports*, ninth edition (2001). These procedures have been adapted to suit the needs of the Hearing Committee in its consideration of grievances and to comply with the Constitution of the Faculty of Illinois Wesleyan University.

The role of the Committee is to hear grievances and to offer recommendations for resolutions to the participants of the grievance and University President. The purview of the Hearing Committee does not include grievances involving any issues within the responsibility of the Academic Appeals Board or the University Judicial Committee. In all grievance matters brought before the Hearing Committee, the Hearing Panel's primary goal shall



be to help resolve the grievance.

### 1) Definitions

- o The *Grievance Process* is the entire process that begins when a written Grievance Claim is received by the Hearing Committee Chair and ends after the Hearing Panel issues its recommendations.
- o *Grievance Claim* or *Grievance* is a written letter signed by the complaining party and addressed to the Hearing Committee that provides a succinct but complete account of the grievance, including dates and specifying the person or persons subject to the grievance.
- o The *Grievant* is a person (or persons) who files a formal Grievance Claim with her/his department chair, the Provost of Faculty, or the Hearing Committee.
- o The *Respondent* is a person(s) subject to the grievance and named in the Grievance Claim.
- o The *Hearing Panel* is a five-member subset of the Hearing Committee that arbitrates the Grievance Claim.
- o A *Grievance Hearing* occurs when the Hearing Panel convenes to hear the case and receive the evidence presented by the parties of the grievance. A grievance hearing may involve one or more sessions.
- o A *Separate Grievance Hearing* occurs when either the grievant(s) or the person(s) subject to the grievance petitions to meet separately with the Hearing Panel.
- o A *Joint Grievance Hearing* occurs when the grievant(s) and the person(s) subject to the grievance meet jointly with the Hearing Panel.
- o *Evidence* includes, but is not limited to, testimony, written statements, documents, or electronic recordings.
- o A *Witness* is anyone who provides supporting evidence to the Hearing Panel at the request of the grievant, the person(s) subject to the grievance, or the Hearing Panel.

### 2) Filing a Grievance

- o A person(s) seeking to file a Grievance is advised to submit the Grievance in writing to their department chair or school director and the Provost. The result of this letter should be an attempt to resolve the Grievance through discussion of the matter with the department chair or school director (unless this person is the subject of the Grievance) and, if the matter is not resolved, with the Provost. Should the Grievant believe her/his concerns directly involve the department chair/school director or the Provost, the Grievant is encouraged to contact the Hearing Committee.
- o If the Grievance is not resolved by actions of the steps outlined above, the Grievant is encouraged to meet with the Hearing Committee Chair and to

submit the Grievance in writing to the Hearing Committee via the informal mediation process. The purpose of this meeting is to initiate the process of resolving the Grievance through the informal procedures of the Hearing Committee. Should the Grievant feel that the informal procedure would be inadequate to resolve the Grievance the Grievant may file the Grievance directly for a formal hearing.

- o If the Grievance remains unresolved after completion of the actions above, the Grievant may choose to file a formal grievance. If the Grievant chooses the formal option, she or he must submit a written Grievance Claim to the Hearing Committee Chair, who will then form a Hearing Panel according to the procedures outlined in Article III, Section 10a, Part 2 of the Faculty Constitution. The formal process begins with the receipt by the Hearing Committee Chair of the Grievance Claim requesting a formal hearing.
- o The written Grievance Claim must not be accompanied by any supporting evidence at this stage in the process. Evidence may be submitted after the Hearing Panel is chosen and the person(s) subject to the Grievance has been notified (see section 4). Evidence will be officially accepted by the Hearing Panel at Grievance Hearing sessions. See section 5d of this document for a complete description of the rules of evidence.

### **3) Rights of the Participants in Arbitration of a Grievance**

The Hearing Committee will be committed to working toward a fair and equitable solution to any grievance that comes before it. To ensure fairness, and to ensure that the privacy and dignity of all parties are maintained, the following rights are to be expected for all parties during the grievance process. Note that for this section, “participants” include the Grievant(s), the person(s) subject to the grievance, the Hearing Panel, and any potential witnesses.

- o Any person involved in the grievance process gives implied consent to abide by the policies and procedures set forth in this document. Any Grievant who does not consent to the policies and procedures set forth in this document may withdraw from the grievance process.
- o The Grievant and the person(s) identified as causing the grievance may exercise one peremptory challenge of a member of the Hearing Panel. If the party chooses to exercise this right, it must be done before the first Hearing Panel session.
- o Participants of the Grievance Hearing, except witnesses, have access to all documents provided to the Hearing Panel including the Grievance itself, and the right to a reasonable amount of time, to be determined by the Hearing Panel, to consider them and construct a response, if desired.
- o Participants of the Grievance Hearing, including witnesses, may request to speak privately with the Hearing Panel as a body but not separately to

individual members of the Hearing Panel. If a private meeting occurs between the Hearing Panel and one party, the other party has the right to receive a summary of the topics addressed, and the right to refute any claims made in the private meeting.

- o Any person involved in the grievance process may refuse to answer a question posed by the Hearing Panel.
- o Participants of hearing sessions may request to be accompanied by an adviser, of the party's choosing, present in the room for all hearing meetings. The party may seek advice, in private, from the adviser during the meeting, but the adviser does not have the right to address the Hearing Panel directly, to present evidence nor to question witnesses.
- o Participants of the Grievance Hearing have the right to address questions to the Hearing Panel, but cannot directly ask questions or make statements to other participants.
- o The Grievant and the person(s) named in the Grievance may object to a question asked any party or witness. If a person objects to a question, the person will be given the opportunity to explain the objection before an answer to the question is offered. The Panel will then decide to proceed with, or to withdraw, the question.
- o The Grievant, the person named in the Grievance, or members of the Hearing Panel may request a delay in the proceedings, in order to prepare an argument, a document, or a response. The Hearing Panel will determine an appropriate length for any delay.
- o All participants in the Grievance Hearing will be afforded due privacy concerning the matter brought before the Hearing Committee.
- o The Hearing Panel may decline to hear a Grievance case.
- o The Hearing Panel may seek University or independent legal counsel as it deems necessary.
- o All costs involving reasonable support for the Hearing Panel's expenses directly related to the grievance procedure will be met by the University.
- o The Hearing Panel in its sole judgment reserves the right to dismiss any person(s) deemed disruptive to the proceedings.

#### **4) Preparations for the Grievance Hearing**

- o The Hearing Committee Chair will convene the Hearing Panel at its first meeting and preside over the election of the Hearing Panel Chair. The election of the chair will be by secret ballot among the members of the Hearing Panel with the ballots counted and the result reported by a member of the Hearing Panel.
- o The Hearing Panel will then serve notice which includes a copy of the Grievance Claim in writing to the person or persons named in the Grievance Claim at least twenty calendar days prior to the grievance hearing. Copies of this notice will be sent to the Provost and the President of the University.

Service shall ordinarily be made by registered mail to the parties' last known address and, where possible, by placing a sealed copy of the notice in the parties' campus mail box(es). Receipt of the Hearing Panel's notice and other communications will be presumed when service is made in this manner.

- o In the notice, or in a subsequent written communication, the Hearing Panel will designate the day, time, and place of the Grievance Hearing and state whether the Grievant and person(s) named in the Grievance Claim will meet with the Hearing Panel separately or jointly at the Grievance Hearing, making every effort within reason to accommodate all parties involved.
- o If the Hearing Panel determines that the Grievant refuses to cooperate in the scheduling of the hearing, the grievance process will be terminated. If the person or persons named in the Grievance Claim refuse to cooperate, the grievance process may continue.
- o Between the time of the notice of the Grievance Claim and the initial Grievance Hearing, all parties may submit to the Hearing Panel proposed evidence and supporting documents. If these documents are received by the Hearing Panel at least five days prior to the Grievance Hearing, the Panel will photocopy and circulate the documents to all involved. Documents will not be *officially* accepted into evidence until the grievance hearing. Parties to the grievance process may bring further documents or evidence to the hearing session(s), provided sufficient copies are supplied for all parties.
- o In addition to supporting documents and evidence, the Grievant and the person(s) named in the Grievance Claim may suggest questions to the Hearing Panel to be asked at the hearing session(s). The Hearing Panel reserves the right to decide whether or not to ask the questions submitted by the participants of the grievance process. The Hearing Panel will not be limited by the questions submitted to it and will be free to ask whatever questions it deems appropriate and necessary for clarification and/or resolution of the issues involved.

## **5) Procedures for Conducting a Grievance Hearing**

### **a) Records and Confidentiality**

- o The Grievance Hearing will be audio recorded. A transcript of the Grievance Hearing will be available to the Grievant(s) and the person(s) subject to the Grievance if they submit a request in writing to the Hearing Committee for a copy after the completion of the grievance process. The exception to this will be any evidence provided by student witnesses. Their evidence will not be available to any third parties, nor will their identities be revealed in the transcripts. The transcript need not be prepared by a court reporter.

- Any matters coming before the Hearing Panel shall be confidential. All Grievance Hearings will be closed to the public. Any public statement made by the Hearing Panel shall be made by the Hearing Panel Chair or his/her designee and, when possible, shall have prior approval by all members of the Hearing Panel.
- Hearing Panel records and other materials relating to a specific grievance shall be open to inspection only for reasons satisfactory to the Hearing Panel and authorized by the Panel in writing. If the request for materials occurs after the term of the members of the Panel is complete, authorization will be given by the current Hearing Committee. In the event that records and other materials of the Hearing Panel are subpoenaed or are required to be produced in a civil proceeding, the Hearing Panel will comply with the applicable law. The Hearing Panel's records and other materials pertaining to a hearing and final communications shall be sealed and kept by the Office of the President for a period of six years, after which the Office of the President shall destroy them unless the President is advised that destruction should be delayed for good and sufficient legal reasons.

**b) Policy and Procedures for a Grievance Hearing**

- The Hearing Panel Chair has the authority to convene, recess, reconvene and adjourn a Grievance Hearing session. The Hearing Panel Chair will convene and preside over the Grievance Hearing and will identify all persons present for the record. All five members of the Hearing Panel must be present at all hearing sessions. In unusual circumstances, a member of the Hearing Panel may participate by conference phone call.
- Only the Hearing Panel, the Grievant, Respondent(s), advisers, and witnesses may attend a hearing. Except upon the express agreement of the parties and the Hearing Panel, witnesses may only be present during their own testimony.
- If the Grievant does not participate in the grievance process, or participates only by advisor or other proxy, the grievance process may be terminated.
- If the Respondent does not participate in the grievance process, or participates only by attorney or other proxy, the Hearing Panel may, at its discretion, continue the grievance process.
- The hearing shall begin with the Grievant. The Grievant will state his/her case, after which the Hearing Panel may question the grievant, and hear and question witnesses present on behalf of the grievant.
- In the event of multiple Grievants, those persons may choose to present their cases independently or designate a representative to speak for all Grievants.

- o If after hearing the case of the Grievant, the Hearing Panel unanimously agrees that the Grievance is without merit or not within the responsibilities of the Hearing Committee, the Hearing Panel may terminate the proceedings and notify all parties, with rationale as deemed necessary by the Hearing Panel.
- o After presentation of the Grievance Claim, the Respondent will present his/her case. The Hearing Panel may direct questions to Respondent and hear and question witnesses present on behalf of that person.
- o In the event that a Grievance is brought against several Respondents, each Respondent shall present his/her case individually, be questioned, and bring witnesses according to the process detailed above.
- o After all evidence has been presented, the Grievant, and Respondent will have the opportunity to submit a written summary statement to the Hearing Panel within five working days of the completion of the grievance hearing. This statement should incorporate existing evidence only, and may not present new evidence. Any party may waive the right to a written summary statement. No additional communication will be received into the record after the written summary statement.
- o After the Hearing Panel Chair has convened the Grievance Hearing and until such time as the conclusion of deliberations, to amend these rules will require a majority vote of the Hearing Panel and the agreement of the Grievant and Respondent.

**c) Witnesses**

- o The Hearing Panel may receive evidence from and question witnesses. Any witnesses who are unable or unwilling to attend may be interviewed in a teleconference or may be invited to submit a written statement to the Hearing Panel. These witnesses may also be asked to provide a written response to questions posed by the Hearing Panel or may be asked to attend a future session(s). Any questioning of witnesses, in whatever form, becomes part of the official record.
- o The Hearing Panel may dismiss the Grievant(s), the Respondent(s), and their advisers from the hearing room during statements and questioning of witnesses.
- o The Hearing Panel may call and hear additional witnesses as it deems advisable.

**d) Evidence Presented at a Grievance Hearing**

- o The Hearing Panel will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved.

- o Evidence should be submitted in sufficient copies for each member of the Hearing Panel and all parties involved in the grievance process. Original evidence must be brought to the Grievance Hearing for purposes of authentication.
- o Evidence may be offered to the Hearing Panel before or during the Hearing session. This evidence will be officially accepted into the record only during sessions of the Grievance Hearing.
- o The reading of a list of documents previously received by the Hearing Panel is sufficient to make all material contained in those documents part of the official record. Only evidence in the official record is to be considered in the deliberations of the Hearing Panel.
- o The Hearing Panel reserves the right to limit the presentation of evidence deemed redundant, irrelevant, or dilatory.

#### **6) Procedures for Issuing Findings and Recommendations Following a Grievance Hearing**

- o After deliberation of the issues presented at the Grievance Hearing, the Hearing Panel will present findings and recommendations for resolving the matter to the parties of the Grievance and to the University President. This document should indicate points of consensus and lack of consensus among the Panel with respect to issues of the Grievance. The Grievant and Respondent will be provided a copy of the findings and recommendations of the Hearing Panel within twenty-one days of the final adjournment of the Grievance Hearing.
- o A written report of the deliberations of the Hearing Panel, copies of all evidence accepted into the record, and a copy of the Hearing Panel's findings and recommendations will be stored in sealed envelopes marked "confidential," and filed with the office of the President.

#### **7) Date of approval**

These procedures were established by the Hearing Committee on March 30, 2006, and approved by the general faculty on April 17, 2006.

### *c. Procedures for Review of Promotion and Tenure Committee Due Process*

#### **1) Introduction**

The Hearing Committee provides a formal process for hearing Petitions from faculty members that claim that a due process violation has been made by the Promotion and Tenure (PAT) Committee. Hearing panels organized for this purpose may hear Petitions concerning potential violations during any PAT review (including pre-tenure reviews, application for tenure, and application

for promotion). The Hearing Committee will not consider nor seek information concerning the merits of a case made to the PAT Committee. The merits of a case include those items on which the PAT Committee based its recommendation, such as achievements in teaching, scholarship, or service and letters of reference. If the Hearing Panel determines that one or more due process violation(s) have occurred, it will notify the PAT Committee, the Petitioner, the Provost, and the President of the University of the violation(s) and will recommend that the PAT Committee correct the procedural error and reconsider the case. A faculty member who submits a Petition to the Hearing Committee should carefully review all pertinent sections of the *Faculty Handbook* and *Constitution*, including Chapter IIIB–Section 2 of the *Faculty Handbook*.

## 2) Timeline for cases involving claims of PAT due process violations

Cases involving alleged PAT due process violations should be completed in a timely manner so that the PAT Committee making the recommendation can reconsider the case if necessary. To facilitate this, the Hearing Committee strongly recommends the following timeline:

- A faculty member considering filing a Petition of PAT due process violations should first consult with the Provost to discuss his or her concerns. If this meeting fails to reach a mutually acceptable conclusion, the faculty member should then proceed to filing a written Petition with the Hearing Committee Chair. This Petition should be filed within 60 calendar days of the official notification by the PAT Committee regarding its recommendation to the President.
- A Hearing Panel must complete the formal hearings within 30 calendar days of receiving the written Petition.
- The Hearing Panel must submit its findings and recommendations within 10 calendar days of the final formal hearing.

## 3) Definitions

- A *Petitioner* is a faculty member who files a written Petition with the Hearing Committee alleging a due process violation by the PAT Committee.
- A *Petition* is a written document that details the alleged due process violations by the PAT Committee. Information concerning achievements of the Petitioner and the merits of the application submitted to the PAT Committee should not be included and will not be considered by the Hearing Panel. The Petition is submitted to the Chair of the Hearing Committee.
- The *Hearing Panel* is a five-member subset of the Hearing Committee that reviews the Petition.



- The *review process* begins with receipt by the Hearing Committee of a Petition. A Hearing Panel will be convened to review the Petition and interview relevant parties. The process is completed with the submission of a recommendation to the Petitioner, the Chair of the PAT Committee, the Provost, and the President of the University.
- *Due process violations* occur when the PAT Committee deviates from its procedures as defined in the *Faculty Constitution*, the *Faculty Handbook*, and official correspondence from the Committee. Petitioners are encouraged to review these documents carefully and identify specific due process violations in the Petition.
- *Special cases of due process violation* are academic freedom violations and discrimination.
- *Academic Freedom violations* occur when the PAT Committee bases its recommendations significantly on considerations that violate academic freedom as defined in Article II of the Constitution.
- *Discrimination* occurs when the PAT Committee bases its recommendations significantly on consideration that are prejudicial with respect to race, ethnicity, sex, religion, national origin, age, disability, marital status, or sexual orientation.

#### **4) Filing a Petition contending PAT due process violations**

- Any person or persons involved in a review of a Petition gives implied consent to abide by the policies and procedures set forth in this document. The Petitioner can withdraw the Petition at any time during the process, which would end action by the Hearing Committee without submission of a formal report. The Hearing Panel can suspend the review process if it judges that the Petitioner is not complying with the policies set forth in this document.
- The Petitioner is encouraged to consult with relevant parties in preparing a written Petition. The Petition should provide a point-by-point account of perceived due process violations that occurred during review of the Petitioner's application for review, tenure, or promotion by the PAT Committee. The burden of proof will rest upon the Petitioner. Any discussion of achievement or merit must be omitted from the Petition.
- Communication with the Chair of the Hearing Committee prior to submission of a Petition must be limited to discussion of Hearing Committee review procedures.
- Upon receipt of a Petition, the Chair of the Hearing Committee will meet with the full committee to form a five-member Hearing Panel, according to the procedures outlined in Article III, Section 10, Part a.2 of the *Faculty Constitution*.
- An individual on the Hearing Committee can withdraw from service on the Hearing Panel if her/his participation might compromise the proceedings.

The Petitioner and the Chair of PAT each have one peremptory challenge with which they can each exclude one member of the Hearing Committee from the Hearing Panel.

- The Hearing Panel may seek University or independent legal counsel as it deems necessary.
- All Hearing Panel expenses directly related to the review process will be met by the University.

#### **5) Procedures of the Hearing Panel in a review of a Petition**

- The Hearing Committee Chair will convene the Hearing Panel at its first meeting, and preside over the election of the Hearing Panel Chair. The election will be by secret ballot.
- The Hearing Panel Chair will convene and preside over meetings of the Hearing Panel. All five members of the Hearing Panel must be present at all meetings pertaining to the review process.
- The Hearing Panel will deliver a copy of the Petition to the Chair of the PAT Committee and the Provost, and will arrange to meet with each in a timely manner.
- At the discretion of the Hearing Panel, the Petitioner may be invited to attend the meetings with the Chair of the PAT Committee and the Provost. The Hearing Panel may invite witnesses to provide insight about the procedural issues in question.
- The Hearing Panel may request procedural documents from relevant parties but may not request the case materials presented to the PAT Committee.
- Interviews will be audio recorded and the contents of each recording indexed. All persons present will be identified for the record. If a written transcript is needed, it does not need to be prepared by a court recorder.
- The Hearing Panel will restrict discussions and inquiry to the procedural issues detailed in the Petition.
- Interviews will begin with a brief statement by the Chair of the Hearing Panel concerning the purpose of the meeting and the procedures to be followed. All persons present at the meeting will be given the opportunity to make opening and concluding remarks for the record.
- The Hearing Panel will not be bound by strict rules of legal evidence and may admit any information that is related to potential PAT procedural violations outlined in the Petition.
- All interviews and information obtained through the review process will be held in confidence. The Hearing Panel shall decide the appropriateness of sharing information with persons involved in the review process.
- After formation of the Hearing Panel to review a Petition, amendment of these rules will require a unanimous vote of the Hearing Panel.

## 6) Procedures for issuing recommendations

- Within ten days of completion of the review process, the Hearing Panel will present a written recommendation to the Petitioner, the Chair of the PAT Committee, the Provost of Faculty, and the President of the University. The subject of the recommendation will be restricted to the procedural and due process issues that were detailed in the Petition submitted to the Hearing Committee. If the Hearing Panel determines through a majority vote that the PAT Committee made a due process violation, it will instruct that the PAT Committee correct the violation(s) and recommend that the Committee reconsider the Petitioner's case.
- If necessary, all efforts will be made to have the PAT Committee that reviewed the Petitioner's original application reconsider the case.
- The Chair of the PAT Committee will report the following, in writing, to the Chair of the Hearing Committee: (1) receipt of the Hearing Panel recommendations; (2) any action taken by the PAT Committee to correct the procedural violations; and (3) if the Petitioner's case was reheard.
- All written documents and records of deliberations and interviews will be stored in sealed envelopes marked "confidential," and filed in the Office of the Provost of Faculty.

## 7) Date of Approval

These procedures were established by the Hearing Committee on March 30, 2006, and approved by the general faculty on April 17, 2006.

### *d. Procedures for Dismissal for Cause*

#### 1) Introduction

The policies and procedures listed here reflect the spirit, and to some degree, the language of the 1958 "Statement on Procedural Standards in Faculty Dismissal Proceedings" published in the *American Association of University Professors Policy Documents & Reports*, Ninth edition (2001), pages 11-14. The language has been adapted, in accordance with the Constitution, to govern the Hearing Committee at Illinois Wesleyan University in its consideration of dismissal for cause proceedings.

Termination of an appointment with continuous tenure, or of a special or probationary appointment before the end of the specified term, may be effected by the University President only for adequate cause. Adequate cause for dismissal will include action directly and substantially related to the professional competence of the faculty member as teacher or researcher, moral turpitude (as defined by the AAUP), or violation of professional ethics,

as set forth in the AAUP 1940 Statement on Principles of Academic Freedom and Tenure and the AAUP Statement on Professional Ethics (1987, Chapter VI, section A of the *Faculty Handbook*). Dismissal will not be used to restrain a faculty member's academic freedom or legal rights. Suspension of a faculty member during dismissal proceedings is justified only if immediate harm to the faculty member or others is threatened by the faculty member's continuance. Unless legal considerations forbid, any such suspension should be with pay.

Potential dismissal of a faculty member with continuous tenure, or with a special or probationary appointment before the end of the specified term, will proceed through a three-step process:

- a) Discussions between the faculty member and appropriate administrative officers for the purpose of arriving at settlement.
- b) If a settlement cannot be reached, an appropriate administrative officer will request that the chairs of PAT and FDC form an informal inquiry panel by the following process. Each chair will ask his or her committee to select three members; from those six, the two chairs will select a three-member inquiry panel, with the other three serving as alternates in case any members need to be recused for conflict of interest (as indicated by the administrative officer) or for other reasons. Both the faculty member and the administrative officer will be allowed one preemptory challenge. The final panel, following substitutions due to necessary recusals, must contain at least one member from PAT and one member from FDC. This panel is charged to: (1) informally inquire into the situation; (2) provide advice to appropriate administrative officials; and (3) attempt to mediate a settlement or resolution with terms of mutual consent between the faculty member and the administration of the University.
- c) Failing resolution, the above panel will determine whether, in its view, formal proceedings to consider the faculty member's dismissal should be instituted. If the panel determines that such proceedings are necessary, or if the President of the University, even after considering a recommendation that proceedings are not necessary, expresses conviction that a formal proceeding should be undertaken, the matter should be brought before the Hearing Committee. A formal hearing for dismissal for cause begins with the submission of a written statement of charges, framed with particular details of the reasons for dismissal to the Chair of the Hearing Committee by the President of the University or the President's designee.

## **2) Rights of the Persons Involved in a Dismissal for Cause Hearing**

- The faculty member has the right to receive a copy of the written statement of charges and to be heard by the Hearing Committee as provided for in Article III, Section 10.b.4. of the Faculty Constitution.
- During the hearing, the faculty member will be permitted to have an adviser and/or legal counsel of the faculty member's choice. The counsel may address the Hearing Panel on behalf of the faculty member; however, the Hearing Panel shall have the right to set reasonable time limits on any such presentations.
- At the request of either party or the panel, a representative of a responsible higher educational association will be permitted to attend the proceedings as an observer.

## **3) Preparations for a Formal Dismissal for Cause Hearing**

- Upon receipt of a written statement of charges from the President of the University, the Chair of the Hearing Committee will convene a meeting of the Committee to form a five-member Hearing Panel as directed in the Faculty Constitution. Committee members deeming themselves disqualified for bias or interest may remove themselves from the case. The faculty member involved, the President of the University, and the Chair of the Hearing Committee each have one peremptory challenge.
- The Hearing Panel will elect a Chair. The Panel will convene a hearing, which may be conducted in one or more sessions, to review and evaluate the statement of charges and related evidence.
- Service to persons involved in the proceeding of notice of a hearing with specific charges in writing will be made at least twenty calendar days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges or asserts that the charges do not support a finding of adequate cause, the Hearing Panel will evaluate all available evidence and rest its recommendation upon the evidence in the record. Regardless of whether the faculty member waives the right to a hearing, the faculty member is encouraged to submit a point-by-point rebuttal or argument to the Hearing Panel at least seven calendar days before the formal hearing begins. If the faculty member fails to submit such a rebuttal or argument at least seven calendar days before the formal hearing begins, then the Hearing Panel shall have the right to continue the hearing on its own decision or at the request of any party disadvantaged by such a failure.
- The Hearing Panel, in consultation with the President and the faculty member, will exercise its judgment as to whether the hearing should be

public or private. The President and the faculty member shall each have the option of attending the hearing in person or by a designee.

#### **4) Conducting a Formal Dismissal for Cause Hearing**

- The Hearing Panel will determine the order of events in the hearing session(s), will normally conduct the questioning of witnesses, and, if necessary, secure the presentation of evidence important to the proceeding. The Hearing Panel will make special effort to obtain additional testimony or evidence in cases where factual matters are in dispute between the statement of charges and the faculty member's rebuttal.
- The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence relating to the statement of charges. The administration will cooperate with the Hearing Panel in securing witnesses and making available documentary and other evidence.
- The burden of proof that adequate cause exists rests with the institution and will be satisfied only by clear and convincing evidence in the record considered in its entirety.
- The panel will grant adjournments to enable either party to investigate evidence as to which a valid claim of surprise, as determined by the Panel, is made.
- The faculty member and his or her counsel, and the President of the University or President's designee will have the right to be present during testimony of all witnesses. The parties further have the right to question all witnesses, however, the Hearing Panel may place reasonable limits on the scope and duration of such questioning in the interests of reaching a fair and just result. If witnesses are unable to appear, their written statements may be received and entered into the record. In such cases the Hearing Panel will identify the witnesses, disclose their statements to all parties, and if possible, provide for interrogatories.
- Hearings involving charges of incompetence may include testimony of qualified faculty members from this or other institutions of higher education.
- The Hearing Panel will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.
- All costs involving reasonable support for the Committee's expenses directly related to the dismissal for cause procedure will be met by the University.
- An electronic or audio recording of the hearing session(s) will be kept. Should a written transcript become necessary, it need not be generated by a court reporter.

- After all presentation of evidence and testimony, the Hearing Panel will give opportunity to the faculty member or the faculty member's counsel and the President of the University or President's designee to present a verbal statement before the Panel. If written briefs would be helpful in the Panel's deliberations, the Hearing Panel may request them or the Hearing Panel may in its discretion grant any party's request to submit a written brief.

### **5) Procedures Following a Formal Dismissal for Cause Hearing**

- The Hearing Panel will reach its decision in conference, on the basis of the hearing testimony and evidence alone. The Panel should make explicit findings with respect to each of the charges presented by the President, with specific and reasoned opinions. If the Hearing Panel concludes that adequate cause for dismissal has been established, the Panel will recommend dismissal of the faculty member. If the Hearing Panel concludes that the charges are substantiated, but that an academic penalty less than dismissal would be more appropriate, it will so recommend, with supporting reasons. If the Panel determines that the charges have no merit, it will so report, with supporting reasons.
- The final report and recommendation of the Hearing Panel will be delivered to the President of the University and the faculty member involved. All materials and records related to the hearing will be stored in sealed envelopes marked "confidential," and filed in the Office of the President.
- Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration by the Board of Trustees.
- The President should transmit to the Board of Trustees the full report of the Hearing Panel, stating its action. Acceptance of the Hearing Panel's recommendation would normally be expected. If the Board chooses to review the case, its review should normally be based on the record made before the Hearing Panel, accompanied by opportunity for argument, oral or written or both, by the principals at the hearing or their representatives. Except in unusual circumstances no argument should be presented to the Board that has not been presented to the Hearing Panel. The decision of the Hearing Panel should either be sustained or the proceeding be returned to the Hearing Panel with objections specified. In such a case the Hearing Panel will reconsider, taking account of the stated objections and receiving new evidence if necessary. It will frame its decision and communicate it in the same manner as before. Only after a study of the Hearing Panel's reconsideration should the Board of Trustees make a final decision overruling the Hearing Panel.

## 6) Date of Approval

These procedures were established by the Hearing Committee on March 30, 2006 and approved by the general faculty on April 17, 2006.

### 6. Council for Excellence in Teaching and Learning Procedures

- *Election of Officers.* The Council for Excellence in Teaching and Learning (CETAL) will convene for its organizational meeting within twenty-one (21) days of its election. The Chair from the preceding year will preside. If there is no Chair, the Associate Dean for Curriculum and Instruction will preside. At this meeting, the Council will elect its officers, which will consist of a Chair and a Vice Chair.
- *Meetings and Regular Structure.* A regular meeting schedule shall be established at the beginning of each semester. Additional meetings may be called by the Chair as needed. CETAL will meet regularly with the Associate Dean for Curriculum and Instruction and/or the Provost to discuss policies and procedures related to faculty development for excellence in teaching, including faculty development programming in teaching and learning and related University grants. The Council may recommend to the Associate Dean for Curriculum and Instruction and the Provost the creation, discontinuation, or modification of any program related to faculty development in teaching and learning. CETAL will work in partnership with the Faculty Development Committee and the Associate Dean for Curriculum and Instruction to publish the Faculty Development Handbook, which outlines policies, procedures and deadlines related to grant opportunities.
- *Conduct of Business.* CETAL will identify high-impact teaching methods and best practice in teaching and learning and provide developmental opportunities for faculty and instructional staff focused on developing excellence in teaching and learning. In consultation with the Faculty Committee on Diversity, CETAL will advocate for and train faculty in inclusive and equitable classroom practices. This includes, but is not limited to offering formal and informal professional development opportunities and making recommendations to the Associate Dean for Curriculum and Instruction about related policies or practices. CETAL will work in partnership with the Faculty Development Committee to determine a calendar for faculty development programming.
- According to the schedule published in the Faculty Development Handbook, CETAL will review all applications for University-funded grants related to teaching and learning. Reviews will be based on the merits of the proposals and in accordance with criteria in the Faculty Development Handbook. To leverage the insights and range of expertise of Council membership, CETAL will engage the larger Council in discussion of the merits of each proposal before elected members of the Council vote. Council members who provide written evaluation for a proposal will be excused from deliberation of that proposal. CETAL's deliberations on grant proposals will remain confidential.



- The Associate Dean for Curriculum and Instruction will not deliberate on proposals. Instead, the Associate Dean will attend deliberations to support the Council as a resource, providing information and insight on questions or issues as they arise, including available resources, funding options, and relevant University policies and procedures. CETAL will recommend to the Associate Dean for Curriculum and Instruction the grant proposals it deems meritorious for funding. The Council will notify applicants of the Council's decisions through letters signed by the Chair of CETAL and the Associate Dean for Curriculum and Instruction.

## 7. Nominating Committee Procedures

- *Election of Officers.* The Chair of the outgoing Nominating Committee shall convene a meeting of the newly elected members within twenty-one (21) days after faculty elections to elect a Chair for the following year. The Chair of the outgoing Committee shall serve as temporary Chair of the new Committee until such time as a new Chair has been selected. The outgoing Chair shall have a vote in the selection process only if that person will be continuing on the Committee.
- *Meetings and Regular Structure.* The Secretary of the Day shall keep minutes of the meetings and file them in the Provost's Office. These minutes will contain only records of final decisions and formal motions made by the Committee.

The Faculty Preference Forms (circulated in February and March) shall be held by the Chair until the election or appointment term for which they were solicited, at which time they will be destroyed.

The Nominating Committee, in fulfilling its charge to prepare the best possible slate of candidates for elective committees and membership for appointive committees, will consider preferences expressed by faculty and will actively recruit additional candidates as necessary, in accordance with the following calendar.

- o January: Review the Faculty Preference Forms; review committee procedures.
- o Early February: Distribute Faculty Preference Forms in elective committees to faculty, then issue a second call for nominations by email after the deadline for receipt of the Faculty Preference Forms for any committee that has fewer than one and one-half nominees for every open position. The committee shall retain all nominees resulting from these efforts until the slate has reached one and one-half candidates for every open position.
- o Mid-February: Draw up slate of candidates for elective office. The committee shall publish the slate and then seek additional nominations for all committees from the floor at the next faculty meeting, regardless of whether the slate has reached the 1:1.5 ratio for every open position.
- o March: Present slate of candidates to faculty at regularly scheduled meeting. Take additional nominations from the floor.

- o Mid-March: Distribute Faculty Preference Forms for appointive committees
- o April: Conduct annual election. Count ballots and send results to all faculty. Ballots and tally are filed in the Provost's Office where they will remain for one month following the election. The date on which the ballots will be destroyed will appear on the ballot.
- o Mid-April: Recommend membership of appointive committees.

When a special election is required, the Nominating Committee shall hold an extraordinary meeting to draw up the slate to be presented at the earliest practical faculty meeting. Nominations from the floor and balloting will be the same as those in regular elections.

### **Appointive Committees**

- ***Admissions Committee***

The Admission Committee reviews applications and makes decisions regarding admissions to the university and annually reviews and approves admission policies. A holistic approach is taken when reviewing the credentials of candidates. The mandate for this Committee comes from the Faculty Constitution. The Committee is composed of members of the faculty, administration, and student body, and is chaired by the Dean of Admissions.

- ***All University Judiciary Committee***

The All University Judiciary Committee (AUJC) is comprised of students, faculty and staff who serve as the voice of the community when students are referred for possible judicial action. The Committee may hear cases related to any student code infraction, and in recent years it has heard cases involving sexual assault, personal assault, alcohol, and hazing. When students are confronted for alleged misbehavior they may choose to have the matter adjudicated by a hearing officer or by the AUJC. Most offenses are resolved through the informal hearing process (hearing officer), but any matter that may be actionable by separation from the University is remanded to the AUJC. It is imperative that in those instances, the voice of the community, as articulated by the AUJC, is heard. No fewer than five faculty members should be appointed to serve as potential hearing members.

- ***Faculty Secretary***

One Faculty Secretary shall be appointed by the President upon the recommendation of the Nominating Committee, to serve a one-year term.

- ***Health Care Advocacy Committee***

The HCAC has the responsibility for advocating for all IWU employees regarding

their health care benefits. The workload varies from year to year. Some years when no changes are needed in the health plans, the Committee meets less frequently with less intensity. However, some years the Committee meets frequently to discuss important issues such as new health care plans and retiree benefits. No fewer than five faculty members should serve on the Health Care Advocacy Committee.

- *Institutional Animal Care and Use Committee*

The committee and Chair will be appointed annually by the University President (Chief Executive Officer). By federal law, membership on the committee will be comprised of a minimum of five members: At least one scientist experienced in animal research, at least one non-scientist, the veterinarian with whom the institution has established a program of veterinary care, an individual from the community with no other official connection with the University, and a faculty Chair. The Chair may be a scientist or non-scientist. Care will be taken in appointments to ensure that those individuals actively conducting animal research do not hold a majority of committee positions. No fewer than three faculty members should serve on the Institutional Animal Care and Use Committee.

- *Institutional Review Board*

The Institutional Review Board (IRB) is responsible for reviewing and monitoring research involving human subjects conducted by faculty, students, and investigators seeking access to students, staff and/or faculty under the auspices of the University. Mandated by federal law, it has the authority to prohibit research that does not meet the standards of ethical research practices. It also has the authority to suspend or terminate approval of research that is not being conducted according to these standards. The Committee's work is heaviest at the beginning of the Fall and Spring Semesters. No fewer than eight faculty members should serve on the Institutional Review Board.

- *Parliamentarian*

The parliamentarian should have knowledge of both the faculty handbook and the accepted handbook of procedure, and be willing to help faculty navigate those documents. During faculty meetings, the parliamentarian advises the presiding officer on matters of procedure. Notably, rulings on procedure come from the presiding officer and not the parliamentarian. One faculty member is expected to serve as Parliamentarian.

- *Pre-Engineering Advisory Committee*

The Engineering Advisory Committee exists to mentor students interested in engineering. Currently, the Committee reviews and revises the advising templates given to First-Year Advisors, nominates students for scholarships at our partnering engineering schools, and mentors students interested in engineering. Pathways to engineering include coordinated dual-degree programs, where students typically study at IWU for three years, taking a basic mathematics, science, and liberal arts sequence, and then spend an additional two years at an engineering school. It is not a transfer program: those students remain IWU degree candidates. At the end of the dual-degree program, students receive a bachelor's degree from IWU and a bachelor's degree in engineering from the cooperating institution. In addition to the dual-degree program, engineering students may choose to stay at IWU for all four years, earning either a B.A. or a B.S. in one of the more technical majors available on campus; those students routinely go on to prestigious graduate schools for a Master's Degree or Ph.D. Chaired by the Institutional Liaison for Dual-Degree Programs. No fewer than four faculty members should serve on the Engineering Advisory Committee.

- *Pre-Law Advisory Committee*

The Pre-Law Advisory Committee helps the Career Center Director advise students about all aspects of how a liberal arts education helps prepare students for law school and legal careers. The Committee makes available material to guide students making course choices while an undergraduate at IWU and to aid them in the law school application and selection processes. No fewer than three faculty members should serve on the Pre-Law Advisory Committee.

- *Pre-Medical/Pre-Dental Advisory Committee*

The Pre-Medical/Pre-Dental Advisory Committee works with undergraduates who are interested in pursuing a professional degree in medicine or dentistry. The Committee advises students regarding a wide variety of issues related to career preparation. The Committee is also responsible for conducting a personal interview and preparing a Committee letter of evaluation for each applicant. No fewer than three to four faculty members should serve on the Pre-Medical/Pre-Dental Advisory Committee.

- *Student Engagement Committee*

The Student Engagement Committee focuses on experiential learning opportunities for students, including but not limited to academic internships, community based learning (Action Research Center), study abroad, and undergraduate research (including the John Wesley Powell Student Research

Conference). Its work also considers IWU's athletics program, religious life, Ames Library, and the summer reading program. Convened by the Director of Center for Engaged Learning, this committee includes 2-3 faculty members appointed by the Nominating Committee, the Associate Provost, a representative from the Hart Career Center, the Director of the International Office, and a student representative appointed by Student Senate. To accommodate the schedule of the committee's work, members are appointed to serve from January through December rather than for an academic year.

- *Writing Program Committee*

The Writing Committee promotes and facilitates the teaching of writing at Illinois Wesleyan. The Committee advises the Writing Program and Writing Center Directors by providing guidance and feedback for matters pertaining to faculty development; the use of technology in the writing classroom; the creation of administrative and curricular documents; and student learning assessment. Additionally, the Committee judges the Best Gateway Essay Contest. When relevant, it assists with administration of grants, creating criteria and evaluating submissions. No fewer than three faculty members are expected to serve on the Writing Committee.

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## A. Introduction

The faculty at Illinois Wesleyan play a key role in the University's satisfying its academic mission (see the Mission Statement at the beginning of the *University Catalog*). Accordingly, the University seeks faculty members whose own commitments are compatible with and supportive of the University. This chapter details policies in relation to faculty appointments and evaluation. To help provide for professional growth of the faculty, the University provides opportunity and support for faculty members' professional development and achievement. Faculty development programs are described in the next chapter of this *Faculty Handbook* and in the *Faculty Development Handbook*.

While AAUP policy statements may be considered by the University regarding appointment, tenure, and other faculty matters, such policy statements should not be assumed to reflect University policy unless expressly stated.

## B. Faculty Appointments

Faculty appointments at Illinois Wesleyan University are of two types: Non-tenure-track and Tenure-track.

### 1. Non-Tenure-Track Appointments

- a. **Coaching positions** are either one-year appointments, renewable annually, or three-year appointments, renewable in the second year of each three-year term. Although of faculty rank, these positions do not fall under AAUP instructional faculty guidelines, and hence may be renewed indefinitely without implication of tenure, because the responsibilities of the position are not primarily as teachers. The statement immediately following represents official University policy concerning coaching positions.

Faculty members appointed for coaching and physical education instruction are not eligible for tenure. To provide an appropriate alternative for these individuals, renewable three-year contracts may be offered either when a person is initially hired or after a favorable PAT review, typically in the fourth year of annual contracts.

- *Annual Contracts.* One-year contracts offered to coaching and physical education faculty may be renewed annually by recommendation of the Athletic Director in consultation with the Chair of the Physical Education Department. During the first and third years of employment, faculty will be reviewed internally by the Athletic Director in consultation with the Chair of the Physical Education Department. Formal reviews of a faculty



member's performance conducted by the Athletic Director, Chair of the Physical Education Department and PAT occur during the second and fourth years of employment. For the first formal PAT review, the faculty member will develop, in the fall of the second year, a self-evaluation of his or her first-year's work. This, along with an evaluation by the supervisor, will then be forwarded to the Provost's Office for a PAT review. If a scheduled annual review is unfavorable, then the existing contract will be allowed to expire and the faculty member will not be offered an additional contract.

A faculty member successfully working in his or her fourth annual contract year will prepare another self-evaluation which, along with the supervisor's evaluation, is forwarded to the Provost's Office for PAT review. If a scheduled review is unfavorable, then the existing contract will be allowed to expire. If the fourth-year review is favorable, either another one-year contract or a three-year contract will be offered to the faculty member. Typically, if things are going well, a three-year contract will be offered at this time.

- *Three-year Contracts.* If recommended by the Athletic Director and the Chair of the Physical Education Department and approved by the Provost, a coach/physical education faculty member may be offered a three-year contract after completing several annual contracts (typically during the fourth year of annual contracts.) Either an internal review by the Athletic Director (in consultation with the Chair of the Physical Education Department) or a formal PAT review will be scheduled during the second year of each three-year contract. The internal review occurring in the second year of one three-year term is replaced with a formal review by PAT during the second-year of the next three-year contract term and so forth in alternating fashion. If this mid-term review is favorable, the three-year contract is renewed for another three-year term to begin at the conclusion of the current three-year contract. If this review is basically favorable but there are some concerns, a one-year contract might be offered to the faculty member to begin at the conclusion of the current three-year contract. In subsequent years, this one-year contract may be transitioned back to a three-year contract. If a scheduled review is unfavorable, then the faculty member will not be offered an additional contract and the existing contract will be allowed to expire at the end of the following year. If a three-year contract is not to be renewed for another three-year term, the PAT Committee will review the individual's case.

A new faculty member initially hired on a three-year contract would complete a formal PAT first-year review (in the second year of the first

contract) and a formal PAT fourth-year review (during the first year of the second three-year contract). This parallels the formal first-year review (occurring in the second year) and the fourth-year review prepared by other new coaches/physical education faculty members initially hired on annual contracts.

All coaches/physical education faculty are required to complete a formal PAT review at least every six years from their last review by PAT.

- Promotions for Coaches/Physical Education Faculty Members

Coaches and physical education faculty are eligible to apply for promotions up to the rank of full professor. When a coach/physical education faculty member believes he or she has achieved a level of professional achievement that is deserving of advancement in rank, he or she should prepare a promotion case (including everything in the required materials list) and submit it to the Athletic Director who will send it on to the Provost's Office for review by the Promotion and Tenure Committee. Promotion reviews can occur in any year after the faculty member has completed her or his fourth-year review.

Materials that coaches/physical education faculty members must submit for formal PAT reviews or promotion reviews are detailed in the section of Review and Promotion of Coaches and Physical Education Faculty Members later in this chapter.

Except as limited above, full-time coaching appointments carry faculty rank with attendant rights (except for eligibility for tenure) and responsibilities as provided by the *Faculty Handbook* at Illinois Wesleyan University.

**b. Instructional staff positions** are renewable, non-tenure eligible employees.

These employees will have both teaching and staff duties within an academic unit. A Master's degree is required for employees in this category. These positions may be 9 – 12 months, depending on responsibilities and unit need.

To request an instructional staff line, units will write a proposal for an instructional staff position. The proposal will be submitted to the Provost and Dean of Faculty who will forward the request to CUPP for review and recommendation. The proposal should include the following:

1. Outline of staff duties associated with the position:
  - a. How many staff-associated hours per week?
  - b. How many months per year is the request for?
  - c. What staff duties will this person perform?

2. Specific teaching duties associated with the position:
    - a. What courses will the person teach? What are the anticipated course caps? If the course has been offered before, please include the average number of enrolled students (averaging the last 3 times the course was offered).
    - b. Discussion of teaching needs including: (i) the impact on the department and university if the instructional staff position is denied, (ii) which courses were canceled or under-enrolled, if any, (iii) actions taken to address staffing constraints, (iv) how the department has attempted to cover the teaching need, including (if any) recent changes to offerings to limit use of contingent faculty.
  3. A discussion of why an instructional staff position is appropriate instead of a series of adjuncts and a staff position. Are there particular skills/abilities that make an instructional staff position necessary?
  4. Demonstration of continuing need for both relevant teaching and staff work.
- c. Full-time Academic Administrative Appointments** with faculty rank are one-year appointments, renewable annually. For the same reason as for coaching positions, these positions can be renewed indefinitely.
- d. Visiting Positions** are temporary positions in the sense that appointment is for a fixed term. Typical instances of such positions are one-year sabbatical replacements.
- e. Extended Temporary Positions** are visiting positions made with the understanding that they may be multi-year in duration, but are not tenure-track and cannot be extended to any one individual for more than six years. These positions are one-year appointments, renewable annually.
- f. "Courtesy" Appointments** are appointments in name only, without compensation or privileges. Such appointments, for example in Military Science, are made as a courtesy to faculty at cooperating institutions.
- g. Adjunct Appointments** are part-time appointments made on a course-by-course basis.

## 2. Tenure-Track Appointments

At minimum, candidates for original full-time appointment in the College of Liberal Arts and the School of Nursing (except for the Department of Accounting and Financial Services and in other exceptional circumstances) must be candidates for an earned doctorate with substantial progress toward completion of the degree. Candidates where a doctorate is required who have not completed

the requirements for a doctoral degree at the time of appointment shall be hired at the instructor level. Should the requirements for the doctoral degree be completed on or before August 1 of the same calendar year as the candidate is hired, the appointment shall be made at the assistant professor level for that academic year. Those faculty members who complete degree requirements after August 1 of the first year of their appointment will ordinarily be granted assistant professor rank at the beginning of the next academic term.

Candidates for original full-time appointment in the professional schools of Art, Theatre Arts, and Music must normally have completed the appropriate professional terminal degree and/or possess artistic or technical performance skills which are judged to be equivalent. Candidates without a terminal degree, or equivalent professional skills, experience, and recognition will ordinarily be appointed at the rank of instructor.

For purposes of determining the probationary period in the tenure process, the usual practice of the institution is to recognize previous full-time teaching experience acquired elsewhere, up to a maximum of three years for candidates at the rank of assistant professor and a maximum of four years for those appointed at the rank of associate or full professor. The years of previous service to be credited are determined individually and set forth in writing at the time of initial appointment.

All faculty members who are/have been a primary or coequal caregiver of newborn or newly adopted children during the probationary period are entitled to extend the probationary period ('stop the tenure clock') upon request to the Provost. A faculty member is entitled to stop the tenure clock while continuing to perform faculty duties at full salary. The tenure clock can be stopped for up to one year for each newborn or newly adopted child. A faculty member can stop the clock only twice, resulting in no more than two one-year extensions of the probationary period. These extensions are available whether or not the faculty member was on full or partial leave of absence. Requests must be made prior to the semester in which the tenure case is to be presented. Once a faculty member requests and receives an extension of the probationary period, the Provost will inform the faculty member, in writing, that the same tenure and promotion criteria will be applied to all candidates

### **3. Policies for Replacement of Tenure-Line Faculty Retirement/Resignation or for New Tenure Lines**

#### ***a. Preliminary Steps***

Department Chairs and School Directors will consult with all current department and school tenure-track faculty members to gather their ideas

about curricular needs. If current tenure-track faculty members have expertise in the area of the anticipated opening, they will be allowed to make written proposals for shifts in their duties to take advantage of opportunities to develop and expand their academic capabilities. The faculty member(s) and Department Chair or School Director will discuss any such proposals with the Provost to determine the appropriateness of redefining existing faculty members' duties. Both the Department Chair or School Director and the Provost have a responsibility to encourage career development in tenure-track faculty and will balance this responsibility with concern for the best interest of the programs and students involved to determine whether to offer the faculty member all or part of the duties anticipated for the position. Such a negotiation may, therefore, necessitate a revision of the anticipated opening.

#### *b. Procedures*

As soon as possible during the spring semester the Provost will remind Department Chairs, School and Program Directors of the annual deadline for receipt of applications for tenure lines. In addition, the Provost will meet with CUPP at its first meeting in the spring semester to discuss the long-term curricular needs of the university for the purpose of collaboratively determining the appropriate number of tenure line searches. By January 15, the Provost will inform CUPP, chairs, and directors of the number—or, if necessary, a range—of tenure lines that can be approved. Department Chairs, School and Program Directors will submit applications for tenure line positions to the Provost's Office and CULL by the Monday after Spring Break. CUPP will review all applications received, and consider each within the context of broad university strategic curricular needs, as well as individual department, program or school needs. CUPP may recommend approval, conditional approval, postponement or denial. It may also request further information. CUPP's recommendations will be shared with the Provost by April 15 (or the following Monday if the 15th falls on a weekend day). The Provost will inform Chairs and Directors of proposals that will be recommended to the Board of Trustees by April 30 (or the following Monday if the 30th falls on a weekend). The Provost will communicate final decisions immediately after the May Board meeting.

#### **Regular Authorization**

**Approval** signifies that CUPP recommends to the Provost immediate authorization for the search to take place in the following academic year.

**Conditional approval** signifies that CUPP recommends to the Provost

conditional authorization, pending enrollment projections and budgetary considerations. Chairs/Directors will be notified by June 15th whether final approval has been authorized. Proposals that do not receive final approval will be considered postponed.

**Postponement** signifies that CUPP recommends to the Provost that the proposal not be authorized for the following academic year. The proposal is deemed meritorious, but the budget cannot currently support the line. Chairs/Directors are invited to resubmit an updated proposal or indicate that the current proposal should be reviewed the following year.

**Denial** signifies that CUPP does not recommend to the Provost authorization for this position. In the case of a request for a replacement position, this recommendation signifies that the position should be eliminated.

### **Authorization of Opportunity Hires**

When an academic unit identifies a candidate from an underrepresented group whose hiring will contribute to the University's strategic goal of having a diverse faculty, the chair/director may propose a new tenure line that could be filled without waiting until the next academic year.

- The proposal will address the general criteria for regular authorization.
- The proposal will explain how this hire would contribute to the University's strategic goal of diversity.
- The proposal will include a written endorsement reflecting the unanimous support of the tenure-line faculty within the unit. If the position is expected to contribute to interdisciplinary programs, the opinion of faculty regularly involved in those programs will be included.
- The Provost must consult with CUPP prior to authorizing an opportunity hire.

### ***c. Proposals***

In preparing proposals for tenure line positions, Department Chairs, School and Program Directors shall consider: what is the evidence that this position will be a necessary one to serve students and the mission of IWU for several decades? The appropriate detail and length of proposals will vary, but should generally be two single-spaced pages in length and no more than four single-spaced pages in length, excluding appendices, and should address as many of the following criteria as applicable.

### Criteria for Approving Tenure Line Positions

**Evidence of reliance on a position.** Reliance on a position should be demonstrated by reference to how the position will serve a range of interests including some (but **not** necessarily **all**) of the following:

- the primary major/minor program(s) to be served by this position (see Evidence of programmatic needs below).
- other programs (including disciplinary and interdisciplinary)
- all-university programs (including Shared Curriculum, May Term, Writing Program)
- the mission of IWU
- student interest in the area
- external accreditation or professional certification criteria

**Evidence of programmatic needs.** Programmatic needs should be based on a realistic assessment of where a department, school, or program should be. The argument for a program's needs may be supported by results from an external review and/or survey of peer institutions. Programmatic needs should be demonstrated by reference to **all** of the following:

- program profile, vision, goals
- current curricular needs
- expected program benefits and outcomes
- student requirements (programmatic and/or professional)

**Evidence of enrollment pressures.** Enrollment pressures are strains induced by high student demand for courses presently offered in a department, school, or program. Enrollment pressures should be demonstrated by reference to statistical evidence, including some (but **not** necessarily **all**) of the following:

- units generated per FTE
- a high ratio of majors or minors per tenure line, and
- reliance on non-tenure track faculty to teach core courses.

### Criteria for Approving Library Faculty Tenure Line Positions

**Evidence of reliance on a position.** Reliance on a position should be demonstrated by reference to how the new library faculty tenure line will serve a range of interests including some (but not necessarily all) of the following:

- the primary major/minor program(s) to be supported by this position's

- liaison responsibilities,
- other programs (including disciplinary and interdisciplinary programs, high-impact practices, curricular initiatives),
- all-university programs (including the Shared Curriculum, May Term, Writing Program)
- the mission of IWU.

**Evidence of Library needs.** The library's needs should be based on a realistic assessment of where the Library should dedicate its teaching and learning efforts through services, collections, and other initiatives. The library's needs should be demonstrated by reference to all of the following with the purpose of promoting a better understanding of the multifaceted and adaptable role of library faculty on campus:

- library profile, vision, goals
- current subject expertise or experience within the library and in conjunction with IWU's needs
- expected benefits and outcomes to the library and to campus
- responsiveness and adaptability to emerging trends and services in academic librarianship and higher education

**Evidence through data/metrics.** Proposals coming from the library faculty should include a narrative covering the sections above, supported by relevant data and metrics that demonstrate where the library is under pressure to maintain, expand or improve programs or services. These data and metrics can come from a multitude of quantitative sources:

- Internal data, such as but not limited to number of instruction sessions, one-on-one student consultations, attendance at workshops, etc.
- External data, such as but not limited to comparisons of the ratio between students and librarians at peer/aspirant institutions, instruction sessions, one-on-one student consultations, etc. reported by peer/aspirant institutions through professional organizations and/or direct contacts with colleagues.
- An external review, when available, is also an acceptable form of both qualitative and quantitative feedback.

#### 4. Conduct of Searches

The Provost provides departments with guidelines on the conduct of searches. Searches are expected to be national and open and to follow generally accepted ethical practices as defined by national scholarly organizations and by the AAUP.

Because national search processes produce a strong diverse faculty, hiring local candidates without a national search should occur only in extraordinary



circumstances. Extraordinary circumstances might include: known weaknesses in likely pools of candidates, failed searches from previous years; successful competition by the local candidate in other national searches; extraordinary strengths in the local candidate's credentials, particularly as related to IWU teaching; and fit with program needs. Suspension of a national search cannot occur without unanimous recommendation by the tenure-line members of the academic unit (registered through confidential communication between each individual member and the Provost) and approval by the Provost.

Only in extraordinary circumstances should tenure-track line splitting be considered, other than at time of an initial hire. All proposals for line-splitting, subsequent to the initial hire, should be brought to CUPP for consideration. Line-splitting is a possibility that will be considered only upon the unanimous recommendation of the affected Department(s) or School(s) to the Provost. Both candidates must have credentials suitable for program needs of the Department(s)/School(s) and of the University as a whole.

## 5. Faculty Appointment and Family Relationship

The University allows the appointment, retention and holding of tenure by more than one member of the same family within the institution and within the same Department. This policy is consistent with the AAUP statement on Faculty Appointment and Family Relationship, approved by the Association's Council in April 1971. The AAUP policy states that anti-nepotism policies and practices, "subject faculty members to an automatic decision on a basis wholly unrelated to academic qualifications and limit them unfairly in their opportunities to practice their profession."

The University furthermore adopts and practices the following institutional regulations recommended by the aforementioned AAUP policy. The University will set "reasonable restrictions on an individual's capacity to function as judge or advocate in specific situations involving members of his or her immediate family." To that end, the University adopts the following restrictions: "Faculty members should neither initiate nor participate in institutional decisions involving a direct benefit (initial appointment, retention, promotion, salary, leave of absence, etc.) to members of their immediate families."

### C. Tenure and Advancement

#### 1. Tenure

##### a. *Appointment with Tenure*

Candidates may be considered for tenure at the time of appointment if:

- They hold tenure or equivalent status at their current institutions
- They fall into one of the categories as defined in the Faculty Handbook:
  - Opportunity Hires
  - Full-time Academic Administrative Appointments who are customarily hired with tenure as faculty members
  - Candidates for tenure-track positions whose experience and qualifications may warrant an adjustment to the usual practice regarding determining the probationary period in the tenure process
  - Candidates in unusually difficult-to-staff units

#### ***b. Probationary Appointment***

All tenure-track appointments of faculty without tenure are probationary appointments made for a period of one year (or in certain instances one term) and are formulated in writing setting forth conditions of the appointment. Faculty members will submit self-evaluations with appropriate files to the Promotion and Tenure Committee according to the schedule in the Evaluation Calendar (Chapter IV.C.4). Evaluation materials vary according to the stage in a probationary appointment as detailed in the section on “Evaluation Materials.” The University will normally notify each faculty member of the terms and conditions of renewal by March 15.

Written notice that a probationary appointment is not to be renewed will be given to the faculty member in advance of the expiration of the appointment as follows:

- Not later than March 1 of the first academic year of service, or if a one-year appointment terminates during an academic year, at least three months in advance of its termination;
- Not later than December 15 of the second academic year of service;
- At least twelve months before the expiration of an appointment after two or more years of service at the University.

#### ***c. Major Pre-Tenure Review***

The Major Pre-Tenure Review is designed to give probationary faculty direct written feedback from the Promotion and Tenure Committee about their progress toward tenure. This review is distinguished from other probationary evaluations. In the Major Pre-Tenure Review, the faculty member produces a full case file. (See “Major Pre-Tenure Review Materials” for appropriate materials to include.) However, the expectations for Major Pre-Tenure review are not equivalent to those for tenure. Rather, the faculty member should strive at this point to present accomplishments to date in the context of

larger goals and strategies for continuing development toward tenure. The Promotion and Tenure Committee has time to give constructive feedback to the candidate so that he/she can develop further before having to make a case for tenure. In preparing the Major Pre-Tenure Review file, the faculty member should be thorough and straightforward in the self-evaluation, supporting claims made with appropriate documentation. The more thorough and thoughtful the faculty member's file is, the more valuable the Promotion and Tenure Committee's response to it will be.

**d. *Criteria for Earning Tenure***

As established in the AAUP 1940 statement of Principles on Academic Freedom and Tenure (Annex I of *The Constitution of the Faculty of Illinois Wesleyan University*), faculty members who have been awarded tenure after the expiration of a probationary period will have permanent or continuous tenure, and their service may be terminated only for adequate cause, or under extraordinary circumstances because of financial exigencies.

Illinois Wesleyan fully respects the principle of faculty tenure according to merit. The University does not maintain any policy designating quotas or limits on the absolute number of tenured faculty or on the proportion of tenured to non-tenured faculty members. However, sound educational policy requires strict application of the standards outlined below.

There is no tenure in an administrative position. For example, a Program Director, Department Chair, or School Director may hold tenure rank as a faculty member, but not as Program Director, Chair or School Director.

Newly appointed faculty are informed that the University by its offer of an initial appointment, by its offer of subsequent appointments, or by its awarding advancement in rank does not hold forth the promise of eventual granting of tenure. Credentials or service that may be sufficient for the awarding of continuing appointments or advancement in rank may not be sufficient for the granting of tenure.

Faculty members are evaluated for tenure on the basis of competence and experience in classroom teaching and responsibilities associated with classroom teaching, completion of professional training, scholarly/artistic ability and achievement, and constructive contribution to the University.

Participation (or lack thereof) in University philanthropic does not impact PAT's deliberations/recommendations for tenure or promotion to the President and the Board of Trustees.

It is clearly in the best interests of the University to encourage and assist faculty members in achieving the levels of professional development required for tenure. To the degree consistent with its resources, the University attempts to provide such assistance through a variety of faculty development programs. However, it must be clearly understood that responsibility for each individual faculty member's professional development rests ultimately with that individual.

A case for tenure must be established over the course of a faculty member's probationary appointment. Professional training must be complete; teaching competence must be clearly demonstrated; scholarly/artistic achievement and contribution to the University must be in evidence. Moreover, one fundamental criterion underlies the granting of tenure to a faculty member: Has it been established that the University will benefit from entering into a binding commitment to that person, a commitment potentially lasting for a professional lifetime?

Toward the goal of assisting faculty members' professional development, Department Chairs, School Directors and Interdisciplinary Program Directors are responsible for counseling faculty members during each year of their probationary period, and each year thereafter, as to their standing in each of the four criteria. The counseling should include discussion of specific achievements and contributions, as well as problems, and constructive assistance in areas where improvement is needed. The Provost should counsel any probationary faculty member who does not seem to be cognizant of these standards. He/she should give such advice as early as possible, repeating it later if necessary, with constructive criticism in reference to specific criteria. However, failure on the part of the Department Chair, School Director, Interdisciplinary Program Director or the Provost to perform the above duties shall in no instance be considered grounds for the granting of tenure.

Candidates for tenure will prepare a file to be reviewed by the Promotion and Tenure Committee. [See "Evaluation Materials" (IV.C.3) for appropriate materials to be submitted] All recommendations by Department Chairs, School Directors and Interdisciplinary Program Directors for the awarding of tenure must be submitted in writing and must include substantial evidence showing why the decision should be in the affirmative. Specifically, individuals who receive tenure must fulfill each of the following criteria:

*Completion of Professional Education and Training.* Candidates must furnish proof that all degree requirements have been completed before the deadline date for presenting files for tenure. To be eligible for tenure, faculty members in the College of Liberal Arts or School of Nursing must have the earned

doctorate in the appropriate discipline except in rare circumstances where substantial evidence of equivalent professional ability and experience is clearly demonstrable. For the purpose of tenure and promotion, the master's degree can be considered the terminal degree in the Department of Accounting and Financial Services and the M.F.A can be considered the terminal degree for Creative Writing. Faculty members in the professional schools of Art, Theatre Arts, and Music and library faculty must have completed the appropriate terminal degree and/or whatever special preparation is normally specified as necessary by the profession.

*Teaching Effectiveness.* Teaching is the central activity at Illinois Wesleyan University. Thus, candidates must demonstrate, above all, their ability to teach well and the promise of achieving excellence in teaching. Effective teaching involves the following:

- Mastery of subject together with the capacity to convey knowledge and skills to students in a creative and cogent manner. If it is appropriate, candidates should integrate their scholarship or creative accomplishments into their teaching practices.
- Ability to stimulate students' intellectual development. That is, effective teaching should foster in students the processes of critical thinking and/or creativity, clarity of expression, mastery of subject matter, and enthusiasm for learning.

It is important to the University and to students to have diversity in teaching methods and styles which may vary with the subject and the level at which one is teaching. Other kinds of interaction with students such as independent study and research, and departmental or campus-wide colloquia or performances are also important.

*Scholarly/Artistic Achievement.* Illinois Wesleyan University expects each member of its faculty to pursue lines of intellectual inquiry and/or engage in artistic activity within his/her field. These endeavors should produce results beyond the level and/or requirements of the terminal degree or its equivalent. While the University realizes that the extent of such inquiry and/or activity can only be judged within the limits of the facilities, resources, and time available to IWU faculty members, nevertheless it expects every faculty member to contribute actively to the broader intellectual/artistic community.

The University distinguishes between professional development and professional achievement in considering a faculty member's retention, tenure, and promotion. Professional development refers to continuing study and research—a refinement of the individual's own ability to engage the

issues of his/her discipline at more advanced stages. That might take the form, for example, of participation in specialized or advanced course work, attendance at workshops, or participation in internships. Professional achievement goes beyond the development of the individual faculty member. It refers to visible engagement with one's discipline in efforts to extend the bounds of knowledge and/or refine the subtleties of interpretation. It necessarily involves the sharing of results with the professional community beyond Illinois Wesleyan.

Contributions to the broader intellectual/artistic community that go beyond individual professional development are necessary for tenure and promotion. These contributions may take a variety of forms, but it is expected that in most cases they will involve engagement with the profession beyond the institution.

Among those activities that may be considered appropriate examples of scholarly/artistic achievement are the following:

- professional publications in one's discipline or its pedagogy;
- artistic productivity and/or performance;
- editorial work or manuscript review in one's discipline;
- formal participation in scholarly conferences;
- grant proposals to support scholarly/artistic activity favorably reviewed by external agencies.

#### *Service to the University*

While the University realizes that the extent of an individual's involvement in institutional service can only be judged within the limits of the facilities, resources, and time available to IWU faculty members, it nevertheless expects that every faculty member demonstrate willingness and ability to share in those collegial responsibilities necessary to the effective functioning of the institution. Examples of such responsibilities might include membership on University committees and councils, leadership positions and committee assignments within departments, schools, and other academic units. Illinois Wesleyan also recognizes less obvious service such as faculty mentoring (especially mentoring of students from under-represented groups and/or faculty from under-represented groups), support of student extra-curricular activities, student recruitment and retention, and above all, academic advising, which next to effective teaching, most directly affects the academic well-being of its students. In addition, a faculty member may fulfill service responsibilities through professional organizations which are directly related to the faculty member's field. In whatever form, service to the University is assessed by evidence of effective fulfillment of responsibilities,

not merely by numbers of committee assignments or membership.

### *Other Criteria*

In addition to the above criteria, the candidate for tenure must be (a) above the rank of instructor and (b) in at least the sixth year of full-time teaching in an accredited college or University. Whether time spent on leaves of absence will be counted in the probationary period should be stated in writing by the Provost.

Finally, it should be recognized that tenure is not acquired automatically upon satisfactory completion of a given number of years of service, but upon an affirmative decision of the Board of Trustees.

## **2. Advancement in Academic Rank**

For advancement, continued progress commensurate with years of service at Illinois Wesleyan is expected in all the areas of teaching, scholarly/artistic achievement, and service. However, the University realizes that there is no single mold in which all faculty are cast, and that it is therefore appropriate for different individuals to demonstrate special growth, vitality, and excellence in different ways. In light of this, advancement will always take into account the candidate's particular strengths and total value of the individual's contribution to the University.

### **Assistant Professor**

The rank of Assistant Professor is awarded to those members of the faculty who have earned the appropriate terminal degree.

### **Associate Professor**

Successful candidates for promotion to Associate Professor must meet the standards of effective teaching, scholarly/artistic achievement, and University service set out for tenure. Promotion to this rank requires excellence in teaching and significant contributions to the institution and the profession. Self-directed development is expected in this rank.

### **Professor**

Successful candidates for promotion to Professor must have reached a level of professional distinction such that they have achieved recognition from colleagues both within the University and in the broader professional community. As teachers, they must demonstrate the ability to work with students at all levels, challenging individuals of different ability and motivation to develop their intellectual and/or artistic strengths. The faculty member at this level must be a

proven leader within the institution, serving as a role model for other faculty and for students.

### **Emeritus/a Status**

The designation *emeritus/a* is added to the rank of retiring tenured faculty who have served the University for at least ten (10) years.

## **3. Evaluation Materials**

The summaries on the pages that follow list the documentation required and/or recommended for the stages of a faculty member's on-going review for tenure and promotion. They supplement the criteria outlined in separate sections on tenure and advancement; candidates should consider them in conjunction with that information.

As the details on these summaries specify, different materials are helpful to the Promotion and Tenure Committee at different intervals in a faculty member's on-going review for tenure and advancement.

In the scheduled yearly reviews for probationary faculty (see "Evaluation Calendar") and routine reviews of tenured faculty, for example, no interpretation and evaluation of the person's teaching, scholarly/artistic achievement, or service to the University need be offered beyond those of the faculty member, of the faculty member's supervisor, and, with regard to teaching, of current students (except as noted in the document). PAT does *not* expect that faculty members at those junctures will submit letters from alumni, representative evidence of scholarly/artistic achievement, or letters concerning their work from colleagues on committees with them or at other universities.

In the Major Pre-Tenure Review, however, PAT conducts an assessment of the faculty member's progress toward tenure. The emphasis here is on progress: PAT is well aware that the expectations for a pre-tenure faculty member are not equivalent to those for a tenure candidate. As the Personnel Council stated in a memo of 22 April 1994, "[T]here would still be ample time for the committee to give constructive feedback to the candidate so that she or he could develop further before making a case for tenure." To make the best use of that review and to receive the most helpful feedback from PAT, the faculty member should strive at this point to situate accomplishments to date in the context of larger goals and strategies for development. The materials requested, then, are more extensive, including, for example, representative samples of scholarly/artistic achievement. PAT receives interpretation and evaluation of the faculty member's work drawn from a slightly broader base within the University community (as noted) in order to make a more thorough and thoughtful evaluation of the faculty member's



situation but does not, at this stage, seek letters from those outside the University community.

Faculty members under consideration for tenure and/or promotion need to submit a significantly more substantial review file. Here the interpretive and evaluative emphases should be on *the faculty member's achievements* (as opposed to development) in the categories of teaching, scholarly/artistic achievement, and service. At this juncture, PAT considers internal assessments by those involved in evaluating a faculty member's work thus far and considers representative evidence of scholarly/artistic achievement. PAT further solicits assessments of the faculty member's work by some outside the immediate IWU community—evaluations of teaching by alumni, and assessments of scholarly/artistic achievement by colleagues in the broader profession.

Under compelling circumstances, and in consultation with the candidate and the Provost, a supervisor may designate another faculty member to write addressing any part of a case: teaching, scholarly/artistic achievement, and/or service. When a supervisor elects this option, s/he should submit a letter as part of the case articulating the compelling circumstances and the appropriateness of the designee.

In all cases, the candidate shall have the opportunity to read the supervisor's letter (or the designee's letter) and to sign the letter indicating that s/he has read it and understands that s/he has the opportunity to respond, in writing, directly to PAT. Faculty may also respond to letters from external reviewers.

In preparing any file for PAT, faculty members should follow one basic principle: be thorough and straightforward in the self-evaluation, and back up claims with appropriate documentation. It is this attention to carefully selected, well-organized, and thoughtfully analyzed materials, not sheer quantity, that makes an impressive file.

The following separate sections contain the specific materials needed by the Promotion and Tenure Committee:

- Annual Review Materials (or materials needed each time self-evaluations are filed, if not annually)
- Major Pre-Tenure Review Materials
- Tenure/Promotion Materials

*a. Annual Review Materials (or materials needed each time self-evaluations are filed, if not annually)*

*Curriculum Vitae*

A curriculum vitae with a complete listing of professional achievements over the faculty member's career, highlighting scholarly/artistic achievements since the last evaluation.

*Teaching*

- Thoughtful self-assessment of one's development as a teacher, including strengths and areas of desired growth.
- Supervisor's assessment of teaching, supported by reports of supervisor's classroom visits.
- Faculty member's and supervisor's summaries of student evaluations. To facilitate PAT's interpretation of student evaluation summaries, Department Chairs, School Directors and Interdisciplinary Program Directors should keep on file the three most recent years of student evaluations for each faculty member. The evaluations themselves would be made available to PAT with advance notice to a faculty member if, in its opinion, raw data were necessary to render an appropriate judgment. Evaluations older than three years should be returned to faculty members for their personal files.
- Representative course syllabi and assignments, along with evaluative/interpretive comments from both the faculty member and the supervisor.
- In team teaching, evidence presented by the faculty member should specify the extent of each person's contribution.

*Scholarly/Artistic Achievement*

- Faculty member's self-evaluation of his/her achievements and their contributions.
- Interpretation and assessment of the work by the faculty member's supervisor.

*Service*

- Department service, all-University service, and relevant community service (if any) should be referred to in the self-evaluation, with such explanation as may seem necessary to clarify and assess the extent and importance of the service. No documentation is required.
- Supervisor's assessment of the extent and importance of all relevant service.

*Length of Candidate and Supervisor Evaluations*

The candidate's entire self-evaluation narrative should not exceed 10 pages, 12-point, double-spaced. Supervisors' evaluations should not exceed 8 pages, 12-point, double-spaced.

*Optional Materials*

No other materials are necessary. However, if a faculty member believes that some aspect of his/her teaching, scholarly/artistic achievement or service cannot adequately be documented by the materials listed above, the faculty member may choose to supplement the file with any additional materials that would help the members of PAT better understand his/her progress toward tenure or promotion.

**b. Major Pre-Tenure Review Materials***Curriculum Vitae*

A curriculum vitae with a complete listing of professional achievements.

*Teaching*

- Thoughtful self-assessment of one's development as a teacher, including strengths and areas of desired growth.
- Supervisor's assessment of teaching, supported by reports of the supervisor's classroom visits.
- Faculty member's and supervisor's summaries of student evaluations. To facilitate PAT's interpretation of student evaluation summaries, Department Chairs, School Directors and Interdisciplinary Program Directors should keep on file the three most recent years of student evaluations for each faculty member. The evaluations themselves would be made available to PAT with advance notice to a faculty member if, in its opinion, raw data were necessary to render an appropriate judgment.
- Representative course syllabi and assignments, along with evaluative/interpretive comments from both the faculty member and the supervisor.
- In team teaching, evidence presented by the faculty member should specify the extent of each person's contribution.

*Scholarly/Artistic Achievement*

- Materials providing evidence of scholarly/artistic achievement should include the following:
  - Representative evidence such as an article; a book; a videotape; a

- recording; a report of professional service to the community; a design; a photograph of an exhibition; a report of contributions to a professional organization; a report of participation as an editor or referee of a scholarly/artistic journal; software; commissioned work; open/educational resources; grant proposals to support scholarly/artistic activity submitted to external agencies, with evidence of a favorable review, even if not funded; and so forth.
- If an article or book proposal is accepted, but will not be published until after the deadline, the faculty member is strongly encouraged to submit the letter of acceptance from the publisher, noting, if possible, an approximate publication date. The above list of potential evidence is not exhaustive and will vary according to the faculty member's discipline and his/her area of expertise.
- Materials should address the impact of the faculty member's work. Those materials should be interpretive and evaluative—that is, they should assess the contribution to the faculty member's field. Materials should include the following:
    - Faculty member's interpretation and evaluation of his/her work.
    - Interpretation and evaluation of the work by the faculty member's supervisor or the supervisor's designee.

#### *Service*

- Department/school service—such contributions should be listed and explained in the self-evaluation, and the faculty member should make sure such service is also addressed in the supervisor's evaluation.
  - University service outside the department/school—the nature and extent of this should also be carefully explained in the self-evaluation.
  - Documentation should be in the form of notes for the individual's case file from committee/council chairs addressing the nature and value of the faculty member's service work.

#### *Length of Candidate and Supervisor Evaluations*

The candidate's entire self-evaluation narrative should not exceed 25 pages, 12-point, double-spaced. Supervisors' evaluations should not exceed 8 pages, 12-point, double-spaced.

#### *Optional Materials*

No other materials are necessary. However, if a faculty member believes that some aspect of his/her teaching, scholarly/artistic achievement, or service cannot adequately be documented by the materials listed above, the faculty member may choose to supplement the file with any additional materials that would help the members of PAT better understand his/her progress

toward tenure.

**c. *Tenure/Promotion Materials***

*Curriculum Vitae*

A curriculum vitae with a complete listing of professional achievements.

*Teaching*

- Thoughtful self-assessment of one's development as a teacher, including strengths and areas of desired growth.
- Supervisor's assessment of teaching, supported by reports of the supervisor's classroom visits.
- Faculty member's and supervisor's summaries of student evaluations. To facilitate PAT's interpretation of student evaluation summaries, Department Chairs, School Directors, and Interdisciplinary Program Directors should keep on file the three most recent years of student evaluations for each faculty member. The evaluations themselves would be made available to PAT with advance notice to a faculty member if, in its opinion, raw data were necessary to render an appropriate judgment. Evaluations older than three years should be returned to faculty members for their personal files.
- Representative course syllabi and assignments, along with evaluative/interpretive comments from both the faculty member and the supervisor (or the supervisor's designee).
- The Provost's Office shall collect written comments from alumni/ae directly, using a uniform set of questions developed by PAT and approved by the General Faculty. Alumni/ae selected to participate shall include some chosen randomly and some chosen by the faculty member. Evaluations from alumni/ae shall be solicited in the following manner: (1) The university shall identify fifteen alumni/ae by a random process of selection from former IWU students of the six previous years; (2) This list of fifteen shall be submitted to the faculty member, and he/she may eliminate up to five names from the list and substitute the names of five alumni/ae. The total number of alumni/ae letters will be fifteen, restricted to the start date of the tenure track appointment. If the number of alumni/ae is not sufficient to meet this requirement, the candidate, supervisor, Provost, and PAT may develop an alternative requirement on a case-by-case basis to be determined by April 1. If the candidate is under a shorter clock than six years and served IWU in a non-tenure track position, the faculty member may choose IWU alumni/ae from their non tenure-track years.
- In team teaching, evidence presented by the faculty member should

specify the extent of each person's contribution.

#### *Scholarly/Artistic Achievement*

- Materials providing evidence of scholarly/artistic achievement should include the following:
  - Representative evidence such as an article; a book; a videotape; a recording; a report of professional service to the community; a design; a photograph of an exhibition; a report of contributions to a professional organization; a report of participation as an editor or referee of a scholarly/artistic journal; software; commissioned work; open/educational resources; grant proposals to support scholarly/artistic activity submitted to external agencies, with evidence of a favorable review, even if not funded; and so forth.
  - If an article or book proposal is accepted, but will not be published until after the deadline, the faculty member is strongly encouraged to submit the letter of acceptance from the publisher, noting, if possible, an approximate publication date. The above list of potential evidence is not exhaustive, and will vary according to the faculty member's discipline and his/her area of expertise.
  
- Materials should address the impact of the faculty member's work. Those materials should be interpretive and evaluative—that is, they should assess the contribution to the faculty member's field. Materials should include the following:
  - The faculty member's interpretation and evaluation of his/her work.
  - Interpretation and evaluation of the work by faculty member's supervisor or the supervisor's designee.
  - Interpretation and evaluation of the faculty member's achievements from two colleagues of the faculty member's choice outside the University. Faculty members should choose external evaluators who have demonstrable standing in the field. If an academic is selected, under most circumstances the evaluator should be at or above the rank to which the candidate is seeking promotion. Reviewers must be in a position to give independent judgment about the candidate, free from conflict of interest. Because candidates must demonstrate that their work is respected in their field, letters from dissertation directors and reviewers with a close personal connection to the candidate are not appropriate. Faculty members should forward names of external evaluators to the Provost's Office in accordance with the Evaluation Calendar for Tenure and Advancement.

#### *Service*

- Department/school service—such contributions should be listed and

explained in the self-evaluation, and the faculty member should make sure such service is also addressed in the supervisor's evaluation.

- University service outside the department/school—the nature and extent of this should also be carefully explained in the self-evaluation.
- Documentation should be in the form of notes for the individual's case file from committee/council chairs addressing the nature and value of the faculty member's service work.

#### *Length of Candidate and Supervisor Evaluations*

The candidate's entire self-evaluation narrative should not exceed 40 pages, 12-point, double-spaced. Supervisors' evaluations should not exceed 8 pages, 12-point, double-spaced.

#### *Optional Materials*

Additional information addressing teaching (e.g., reports of colleagues' classroom visits) might be supplied in any year when evaluation materials are submitted. Materials beyond those specified previously, however, are *not* required.

Additional materials addressing the question could include additional letters, reviews, articles, or commentary on the achievement from professional journals, awards for or formal commendation of the scholarly/artistic work, and so forth. Here, as elsewhere, the faculty member should concentrate on the quality and representativeness of the additional evidence and not on its quantity.

While community service activities are not requirements for tenure or advancement, some such activities could well be documented to supplement University service in faculty members' case files. Faculty members should solicit statements from knowledgeable people to the effect that the service work was valuable to the community and that it was in the faculty member's professional field. It is understood that there may be situations in which soliciting such an endorsement from sources outside the University could lead to misunderstandings. Still, for service to be credited, some sort of documentation is normally necessary, and full explanation should be provided of the reason for the absence of documentation.

#### ***d. Review of Candidates for Appointment with Tenure***

*Candidate.* To be considered for tenure upon hire by PAT, the candidate must submit the following materials:

- Evidence of teaching effectiveness, including:
  - A brief summary of teaching experience
  - Summaries of student course evaluations covering the breadth of the candidate's recent teaching responsibilities
  - Recent course syllabi and representative assignments, or evidence of effective librarianship (a thoughtful self-assessment of one's development as a librarian, including analysis of areas of concentration, strengths, and desired growth. This assessment should be supported by summaries of student evaluations of instruction sessions, a discussion of pedagogical techniques and programs used and/or initiatives that contributed to the mission of the library).
- Evidence of scholarly/artistic achievement, including:
  - A curriculum vitae
  - Appropriate examples of the candidate's work
  - Two external letters attesting to the quality of the candidate's scholarly/artistic achievement in their field or community of practice.
- Evidence of service to their prior institution(s), community, and profession

*Hiring unit.* For the candidate to be considered for tenure by PAT, the hiring unit must submit the following:

- A letter from the chair or director (or senior member) of the hiring unit that provides evidence of both teaching effectiveness/effective librarianship and scholarly/artistic achievement consistent with the granting of tenure.

*Provost.* The Provost must submit the following:

- A letter justifying the consideration of granting tenure to the candidate without a probationary period.
- Anonymized responses from individual faculty members in the hiring unit indicating their opinion on hiring the candidate with tenure.

#### *Length of Candidate and Supervisor or Senior Unit Member Evaluations*

The candidate should provide the requested evidence in a self-assessment document not to exceed 15 pages, 12-point, double-spaced, and through supplementary appendices (e.g., "Syllabi and Assignments," "Course Evaluation Data," "Published Works," etc.).

The supervisor or senior unit member's letter should not exceed 4 pages, 12-point, double-spaced.



### *e. Review and Promotion of Coaches and Physical Education Faculty Members*

Coaches and physical education faculty members are expected to undergo periodic reflective self-evaluation that serves as the basis for PAT review. The information below is a guide to prepare the materials necessary for these reviews. These reviews occur on the following schedule: first year, fourth year, and every fourth year thereafter.

#### **1) Regular PAT (first-year, fourth-year, and periodic) Review Materials**

The following materials submitted for PAT are due in the Athletic Director's Office by 1 November and in the Provost's Office by 1 December.

- Résumé listing relevant educational background, work experience, and major professional activities and achievements
- Evaluation of coaching by the Athletic Director
- Evaluation of teaching Physical Education classes by the Chair of Physical Education

and/or evaluation of teaching by the chair of the unit in which the candidate teaches

- Detailed and reflective self-evaluation. See below for detailed criteria.

#### **Faculty Self-Evaluation guidelines for the IWU Athletic Department coaches**

**Submit two copies of their narrative response to Part I, II, and III (see below) of professional responsibility: one to the Athletic Director and one to the Chair of the Physical Education Department.**

The reflective self-evaluation is for both physical education teaching and athletic coaching and consists of Part I, II, and III (detailed below). It is the primary source of information for PAT in promotion recommendations. It may also be used by supervisors to help guide the development of the faculty member as a teacher and coach at Illinois Wesleyan. Coaches/Faculty addressing Parts I, II, and III should provide a thoughtful and reflective self-evaluation of one's development and accomplishments in all three parts of the evaluation, including strengths, evidence of strengths, and areas of desired Part I is the most significant area of evaluation and should receive the most attention in your self-evaluation, followed by Part II (if applicable), followed by Part III.

##### *PART I. Areas related to athletic coaching*

**a) Effectiveness in recruiting student-athletes.** Provide a thoughtful description of recruiting strategies, philosophy, recruiting efforts, and goals. Evaluate recruiting effectiveness for one's sport(s), including identifying prospective student-athletes' with the academic ability, character, and

academic credentials necessary for admission to Illinois Wesleyan University. Include a detailed assessment of one's overall effectiveness in guiding and assisting prospective student-athletes in making their college choice.

**b) The academic success of your student-athletes at IWU.** Reflect on and describe the academic success of student-athletes and provide details in the narrative. Cite evidence of the academic achievements of your student-athletes. Examples could include, but are not limited to: GPAs, university academic honors, Academic All-American honors, graduation rates, retention rates. Coaches/Faculty may wish to consider any identifiable problems hindering your student-athletes' combined success in the academic classroom and on the athletic fields. Explain how problems were addressed.

**c) The quality of teams and coaching effectiveness.** Evaluate the development of student-athletes and the success in motivating teams to play to their potential. Provide a thoughtful assessment on effectiveness in building teamwork and camaraderie among student-athletes. As appropriate, describe teams' success in conference, regional, and national competitions (e.g., team record, standing in CCIW, tournament appearances and championships, special commendations, player awards/honors, record against nationally-ranked teams). If the coach experimented with any new coaching approaches/ techniques, evaluate how well these efforts worked. If coaching involved working with other coaches, comment on one's effectiveness in working cooperatively. Be sure to use specific examples in making the case to PAT.

### *PART II. Teaching*

Provide a thoughtful self-assessment of teaching, including strengths and areas of desired growth. Discuss representative courses taught and any significant contribution to other courses at IWU. For example, coaches/faculty need to distinguish between physical education activity courses, physical education theory courses, and other courses taught (if applicable). For each class discussed, evaluate your classroom preparation, subject matter competence, classroom effectiveness, and overall ability to communicate the content and teach the skills of your discipline. This reflective self-evaluation should include a summary of student course evaluations. In addition, describe any challenges that were faced and how they were addressed. If the coach/faculty experimented with any new pedagogical approaches or made substantial revisions in course content, provide a context and supporting evidence behind the motivation for the changes and evaluate how well those efforts worked. For team teaching, coaches/faculty should specify the extent of their contribution in relation to the overall course design.

*PART III. Professional development and service*

**a) Professional development.** Thoughtfully evaluate your professional activities at IWU. These might include publications; participation in coaching clinics, in professional conferences, or in camps; and speaking engagements to colleagues in the profession. Describe and evaluate continuing development of working relations with high school, college, or professional coaches in relevant sports. If applicable, comment on any continuing formal and informal education related to one's development as a teacher of physical education courses. In general, consider how these activities contribute to one's continuing development as a professional.

**b) Service on and off campus.** Describe and evaluate other service on campus. Examples might include working with the Development Office and/or Admissions Office, speaking to alumni groups, and/or engaging in university committees. Where appropriate, also include any community activities such as speaking engagements to civic groups or to groups of high school students, volunteer work, or related activities that reflect positively on the University by virtue of one's prominence as a university coach.

*Length of Candidate and Supervisor Evaluations*

The candidate's entire reflective self-evaluation narrative should not exceed 10 pages, 12-point, double-spaced. Supervisors' evaluations should not exceed 8 pages, 12-point, double-spaced.

*Optional Materials*

While no other materials are required, it may also be appropriate to include additional letters from IWU colleagues and people outside the university who are able to comment on their coaching, teaching, or professional-related service.

**2) Promotion Review Materials****Promotion Materials**

The calendar for submissions is the same as the calendar for faculty in academic areas. The following materials are due to the Athletic Director by 15 September and to the Provost's Office by 15 October:

- Résumé listing relevant educational background, work experience, and major professional activities and achievements
- Self-evaluation following the criteria listed above, see Section IV.d.1, Faculty Self Evaluation Guidelines
- Evaluation of coaching by the Athletic Director
- Evaluation of teaching Physical Education classes by the Chair of the

Physical Education Department or evaluation of teaching by the chair of the unit in which the candidate teaches if applicable

- Written comments from alumni (former players from teams coached or supported and/or students from courses taught if applicable) collected directly by the Provost's Office, using a uniform set of questions developed by PAT. Alumni selected to participate shall include some chosen randomly and some chosen by the faculty member. Evaluations from alumni shall be solicited in the following manner: Five alumni, both student-athletes and, if applicable, students, shall be chosen by the faculty member; fifteen alumni shall be chosen by a random process, by the Registrar's Office, from former student-athletes (13 alumni from teams coached) and, if applicable, from former students (2 alumni from physical education courses taught) of the previous six years. This list of fifteen shall be submitted to the faculty member. The faculty member then may eliminate as many as five names from the list, replacing former student-athletes with former student-athletes and, if applicable, former students with former students. The Registrar shall inform PAT of the academic record of all alumni solicited. If the number of alumni is not sufficient to meet this requirement, the candidate, Athletic Director, Provost, and PAT may develop an alternative requirement on a case-by-case basis to be determined by April 1.
- Interpretation and evaluation of the candidate's achievements and contributions from two colleagues (college coaches/other professionals in high school and college athletics) of the candidate's choice outside the University. Candidates should forward names of external evaluators to the Provost's Office in accordance with the Evaluation Calendar for Tenure and Advancement.
- Evidence of professional involvement in service activity on- and off-campus related to the area of professional expertise.

#### *Length of Candidate and Supervisor Evaluations*

The candidate's entire self-evaluation narrative should not exceed 40 pages, 12-point, double-spaced. Supervisors' evaluations should not exceed 8 pages, 12-point, double-spaced.

#### *f. Review and Promotion of Athletic Trainer*

Athletic Trainers are expected to undergo periodic reflection and self-evaluation that is reviewed by PAT. The information below is meant to guide the process in preparation of materials necessary for these reviews. These reviews occur on the following schedule: first year, fourth year, and every fourth year thereafter.

##### **1) Regular PAT (first-year, fourth-year, and periodic) Review Materials**

The following materials must be submitted for PAT reviews. The materials for regular PAT reviews are due in the Athletic Director's Office by 1 November and in the Provost's Office by 1 December.

- Résumé listing relevant educational background, work experience, and major professional achievements
- Detailed and reflective self-evaluation, as outlined below
- Evaluation of athletic training responsibilities by the Athletic Director
- Evaluation of teaching physical education classes Chair of Physical Education and/or evaluation of teaching by the chair of the unit in which the candidate teaches

### **Faculty Self-Evaluation Guide for IWU Athletic Trainers**

**Submit two copies of the narrative response to these categories (Part I, II, and III) of professional responsibility: one to the Athletic Director and one to the Chair of the Physical Education Department.**

This self-evaluation is for both physical education teaching and athletic training consists of Parts I, II, and III (detailed below) and is the primary source of information for PAT in promotion recommendations. It may also be used by supervisors to help guide the development of the faculty member as a teacher and trainer at Illinois Wesleyan. Athletic trainers addressing the components detailed below should provide a thoughtful reflective self-assessment of one's development and accomplishments in all three areas of evaluation, including strengths, evidence of strengths, and areas of desired growth. Part I is the most significant area of evaluation and should receive the most attention in your self-evaluation, followed by Part II (if applicable), followed by Part III.

*PART I. Areas related to athletic training* (progress also evaluated by the Athletic Director)

#### **a) Effectiveness in supervising/coordinating athletic training services for student-athletes and coaches.**

Provide a thoughtful description of one's ability as an athletic training clinical educator to coordinate athletic training services at IWU with ISU students in their Accredited Athletic Training Education Program (ATEP). Evaluate effectiveness in providing a good clinical education experience for these students who need to acquire certain cognitive psychomotor competencies while they are under the athletic trainer's supervision.

**b) Quality of your athletic training services.**

Provide a reflective self-evaluation of athletic training skills, abilities, and effectiveness in the following domains:

1) athletic injury prevention; 2) athletic injury recognition, evaluation, and assessment; 3) athletic injury emergency care; 4) athletic injury treatment, rehabilitation, and reconditioning; 5) organization and administration of Athletic Training Service, including budgeting and coverage of events.

In writing the self-evaluation, PAT invites candidates to support claims by referring to the reviews conducted by team and orthopedic physicians and the Athletic Director.

*PART II. If applicable, teaching in physical education or other courses (progress also evaluated by the Chair of the Physical Education Department or chair of the unit in which the candidate teaches)*

Provide a thoughtful self-evaluation of one's teaching, including strengths and areas of desire growth. Discuss representative courses taught and any significant contribution to other courses at IWU. For example, athletic trainers need to distinguish between physical education activity courses, and physical education theory courses, and other courses that you teach (if applicable). For each class discussed, evaluate classroom preparation, subject matter competence, classroom effectiveness, and overall ability to communicate the content and teach the skills of the discipline. This reflective self-evaluation should include a summary of student course evaluations. In addition, describe any challenges that were faced and how they were addressed. If the athletic trainer experimented with any new pedagogical approaches or made substantial revisions in course content, provide a context and supportive evidence behind the motivation for the changes and evaluate how well those efforts worked. For team teaching, athletic trainers/faculty should specify the extent of their contributions in relation to the overall course design.

*PART III. Professional development and service (progress also evaluated by the Athletic Director)*

**a) Professional development and responsibility.** It is noted that you must maintain Continuing Education Units for National Association of Athletic Trainers Certification and maintain your licensure. Comment on any continuing formal and informal education related to your development/certification/licensure as an athletic trainer and to your

development as a teacher of physical education courses. Describe and evaluate any additional professional activities for the review period, such as, participation in athletic training clinics, in professional conferences or in camps, giving speaking engagements to colleagues in the profession and/or publications. Provide a thoughtful assessment of any ongoing engagement with colleagues in the field, both locally and in the broader profession. Explain how these efforts are contributing to one's continuing development as a professional.

- b) Service on and off campus.** List and comment on other service on campus. Examples might include working with the Development Office and/or Admissions Office, speaking to alumni groups, and/or engaging in university committees. Where appropriate, also include any community activities such as speaking engagements to civic groups or to groups of high school students, volunteer work, or related activities that reflect positively on the University by virtue of your prominence as a university athletic trainer.

*PART IV. (If applicable) Assigned duties beyond teaching and athletic training.*

Include relevant information encompassing assigned duties performed for the Athletic Department beyond teaching and athletic training at IWU. It may also be appropriate to submit additional evidence in the form of letters from colleagues in the Athletic Department that describe the athletic trainer's contributions to the department, letters from assistant coaches, letters from others on campus with whom the athletic trainer has worked and who can evaluate the athletic trainer's service on campus, and people outside the university who are able to comment on the athletic trainer's professional-related service.

*Length of Candidate and Supervisor Evaluations*

The candidate's entire self-evaluation narrative should not exceed 10 pages, 12-point, double-spaced. Supervisors' evaluations should not exceed 8 pages, 12-point, double-spaced.

**2) Promotion Review Materials**

The following materials must be submitted to PAT for promotion reviews. The calendar for submissions is the same as the calendar for faculty in academic areas: materials are due to the Athletic Director by 15 September and to the Provost's Office by 15 October.

- Résumé listing relevant educational background, work experience,

and major personal achievements.

- Reflective self-evaluation following the criteria listed above (see Section IV.f.1, Review Materials (first-year, fourth-year, and every fourth year))
- Evaluation of athletic training by the Athletic Director.
- If applicable, supervisor's evaluation of teaching physical education classes or evaluation of teaching by the chair of the unit in which the candidate teaches.
- Written comments from alumni (former players worked with and, if applicable, students from physical education courses taught) collected directly by the Provost's Office, using a uniform set of questions developed by PAT. Alumni selected to participate shall include some chosen randomly and some chosen by the candidate.

Evaluations from alumni shall be solicited in the following manner: Five alums, both student-athletes and, if applicable, students, shall be chosen by the candidate; fifteen alumni shall be chosen by a random process, by the Registrar's Office, from former student-athletes (13 alumni from former players worked with) and, if applicable, from former students (2 alumni from courses taught) of the previous six years. This list of fifteen shall be submitted to the candidate. The candidate then may eliminate as many as five names from the list, replacing former student-athletes with former student-athletes and, if applicable, former students with former students. The Registrar shall inform PAT of the academic record of all alumni solicited.

- Interpretation and evaluation of the candidate's achievements and contributions from two colleagues with no connection to the University and an appropriate professional distance from the candidate of the candidate's choice. Candidates should forward names of external evaluators to the Provost's Office in accordance with the Evaluation Calendar for Tenure and Advancement.
- Evidence of professional involvement in service activity on- and off-campus related to the area of professional expertise.

#### *Length of Candidate and Supervisor Evaluations*

The candidate's entire self-evaluation narrative should not exceed 40 pages, 12-point, double-spaced. Supervisors' evaluations should not exceed 8 pages, 12-point, double-spaced.

Criteria for the Advancement of Coaches and Athletic Trainers (April, 2014)

#### **A. Coaching or athletic training responsibilities**



Successful candidates for promotion as *coaches* should demonstrate their success in:

- Developing and administering one's sport in conjunction with the *Statement of Philosophy – Varsity Athletics at Illinois Wesleyan University*.
- Complying with CCIW and NCAA rules and regulations in one's sport and representing Illinois Wesleyan in a professional manner.
- Motivating teams to play to their potential. Success in the CCIW and NCAA contests would be viewed as objective evidence.
- Recruiting academically and athletically qualified athletes.
- Developing relationships and earning the respect of Illinois High School Coaches, their peers within the IWU Athletic Department, coaches in the CCIW conference, and former players through alumni relations.

Successful candidates for promotion as *athletic trainers* should demonstrate their success in:

- Effectively supervising/coordinating athletic training services for athletes and coaches, including working with, and providing a good clinical education experience for, athletic training students from the Accredited Athletic Training Program at Illinois State University.
- Providing quality athletic training services in the following domains: athletic injury prevention; athletic injury recognition, evaluation, and assessment; athletic injury emergency care; athletic injury treatment, rehabilitation, and reconditioning; and the organization and the administration of athletic training services.

**B. (If applicable) Teaching responsibilities.** Coaches/athletic trainers with teaching responsibilities should demonstrate:

- Commitment to teaching responsibilities.
- Effectiveness in stimulating students' intellectual development.
- Support of the Physical Education Department's curriculum and the university's general education requirements.
- Effective supervision and administration of course content.
- Ongoing evaluation and recording of student progress.

**C. Professional achievement.** Candidates under consideration for promotion in rank must submit more substantial promotion materials than for an annual review. These materials include a more extensive self-evaluation with supporting documentation in comparison to annual review materials. The interpretive and evaluative emphases should be on the faculty member's *achievements* (as opposed to development) in the categories of coaching and/or athletic training, teaching (where appropriate), scholarly achievement, and professional/University service.

The University distinguishes between professional development and professional achievement in considering a faculty member's promotion. Development refers to

continuing study and engagement—a refinement of the individual’s ability to engage the issues of their profession at more advanced stages. That might take the form, for example, of participation in specialized or advanced course work, attendance at workshops, or participation in internships. Professional achievement goes beyond individual development and refers to visible engagement with one’s discipline in efforts to extend the bounds of knowledge and/or refine the practice or application. Professional achievement is necessary for promotion and involves the sharing of results and making contributions to the broader professional community beyond Illinois Wesleyan University. These contributions may take a variety of forms, including but not limited to:

- Formal presentations at coaching clinics and/or professional meetings.
- Publication of articles in professional journals.
- Participation in CCIW conferences or NCAA committees.
- Active involvement in state, regional, or national coaching organizations.
- Involvement in on and off-campus service activities related to the coach’s area of expertise.
- Maintaining essential licensure and Continuing Education Units for NATA Certification (athletic trainer).

Note: Each successive level of advancement will be held to progressively higher standards of expectation.

#### For Advancement in Rank

In addition to the above criteria, the candidate for promotion must be (a) above the rank of instructor and, (b) except under extraordinary circumstances, must be in at least their sixth year of full-time employment at Illinois Wesleyan University. Whether time spent on leaves of absence or time spent at other accredited colleges or universities will be counted in this time period should be stated in writing by the Provost.

##### *Rank of Assistant Professor*

The rank of Assistant Professor is awarded to those members of the faculty who have earned the appropriate terminal degree.

##### *Rank of Associate Professor*

Successful candidates for promotion to Associate Professor must meet the standards of effective coaching, athletic training, teaching and professional achievement. Self-directed development is expected in this rank.

##### *Rank of Professor*

Successful candidates for promotion to Professor must have reached a level of excellence and professional distinction such that they have achieved recognition from colleagues both within the University and in the broader professional community. As coaches, athletic trainers, or as teachers, they must demonstrate the ability to work with students at all levels, challenging individuals of differing ability and motivation to develop their intellectual and/or athletic strengths. The candidate at this level must be a proven leader within the institution, serving as a role model for other faculty and staff and for students.

#### *Emeritus/a Status*

The designation emeritus/a is added to the rank of retiring faculty who has achieved promotion to the rank of Associate Professor or higher and has served the University for at least ten (10) years.

#### ***g. Review and Promotion of Library Faculty***

##### *Effective Librarianship*

In keeping with the educational mission of Illinois Wesleyan University, library faculty foster inquiry and the pursuit of knowledge, intellectual and ethical integrity, excellence in teaching and learning, and respect for diverse points of view. In their candidacy for promotion and tenure, library faculty candidates must exhibit, above all, a demonstrably high level of achievement in these areas:

- Approaches to research inquiry and knowledge of the structure of information in support of teaching and learning, and ability to stimulate students' intellectual curiosity.
- Engagement with faculty and students in the subject disciplines for which the library faculty member is responsible, including a broad and deep understanding of the publishing output and scholarly communication efforts of these disciplines.
- Design and development of effective library programs and initiatives.
- Develop and provide access to active and current library collections that reflect the appropriate material for the subject disciplines that the library faculty member oversees.

*Scholarly/Artistic Achievement*

Illinois Wesleyan University expects each member of its faculty to pursue lines of intellectual inquiry and/or engage in artistic activity within his or her field. These endeavors should produce results beyond the level and/or requirements of the terminal degree or its equivalent. While the University realizes that the extent of such inquiry and/or activity can only be judged within the limits of the facilities, resources, and time available to IWU faculty members, nevertheless it expects every faculty member to contribute actively to the broader intellectual/artistic community.

The University distinguishes between professional development and professional achievement in considering a faculty member's retention, tenure, and promotion.

Professional development refers to continuing study and research—a refinement of the individual's own ability to engage the issues of his/her discipline at more advanced stages. That might take the form, for example, of participation in specialized or advanced course work, attendance at workshops, or participation in internships. Professional achievement goes beyond the development of the individual faculty member. It refers to visible engagement with one's discipline in efforts to extend the bounds of knowledge and/or refine the subtleties of interpretation. It necessarily involves the sharing of results with the professional community beyond Illinois Wesleyan.

Contributions to the broader intellectual/artistic community that go beyond individual professional development are necessary for tenure and promotion. These contributions may take a variety of forms, but it is expected that in most cases they will involve engagement with the profession beyond the institution. Among those activities that may be considered appropriate examples of scholarly/artistic achievement are the following:

- professional publications in one's discipline or its pedagogy;
- artistic productivity and/or performance;
- editorial work or manuscript review in one's discipline;
- formal participation in scholarly conferences;
- grant proposals to support scholarly/artistic activity favorably reviewed by external agencies.

*Service to the University.*

While the University realizes that the extent of an individual's involvement in institutional service can only be judged within the limits of the facilities, resources, and time available to IWU faculty members, it nevertheless expects that every faculty member demonstrate willingness and ability to share in those collegial responsibilities necessary to the effective functioning of the institution.

Examples of such responsibilities might include membership on University committees and councils, leadership positions and committee assignments within departments, schools, and other academic units. Illinois Wesleyan also recognizes less obvious service such as faculty support of student extra-curricular activities, student recruitment and retention, and above all, academic advising, which next to effective teaching, most directly affects the academic well-being of its students. In addition, a faculty member may fulfill service responsibilities through professional organizations which are directly related to the faculty member's field. In whatever form, service to the University is assessed by evidence of effective fulfillment of responsibilities, not merely by numbers of committee assignments or membership.

*Other Criteria.*

In addition to the above criteria, the candidate for tenure must be (a) above the rank of instructor and (b) in at least the sixth year of full-time teaching in an accredited college or University. Whether time spent on leaves of absence will be counted in the probationary period should be stated in writing by the Provost.

Finally, it should be recognized that tenure is not acquired automatically upon satisfactory completion of a given number of years of service, but upon an affirmative decision of the Board of Trustees.

**Advancement in Academic Rank**

For advancement, continued progress commensurate with years of service at Illinois Wesleyan is expected in all the areas of effective librarianship, scholarly/artistic achievement, and service. However, the University realizes that there is no single mold in which all faculty are cast, and that it is therefore appropriate for different individuals to demonstrate special growth, vitality, and excellence in different ways. In light of this, advancement will always take into account the candidate's particular strengths and total value of the individual's contribution to the University.

*Rank of Assistant Professor*

The rank of Assistant Professor is awarded to those members of the faculty who have earned the terminal degree.

*Rank of Associate Professor*

Successful candidates for promotion to Associate Professor must meet the standards of effective librarianship, scholarly achievement, and University service set forth for tenure. Promotion to this rank requires excellence in librarianship and significant contributions to the institution and the profession. Self-directed

development is expected in this rank.

### *Rank of Professor*

Successful candidates for promotion to Professor must have reached a level of professional distinction such that they have achieved recognition from colleagues both within the University and in the broader professional community. As librarians, they must demonstrate the ability to work with students and faculty at all levels, and enable IWU students to develop their intellectual strengths and critical thinking skills. The faculty member at this level must be a proven leader within the institution, serving as a role model for other faculty and for students.

### **Evaluation Materials**

The summaries on the pages that follow list the documentation required and/or recommended for the stages of a faculty member's on-going review for tenure and promotion. They supplement the criteria outlined in separate sections on tenure and advancement; candidates should consider them in conjunction with that information.

As the details on these summaries specify, different materials are helpful to the Promotion and Tenure Committee at different intervals in a faculty member's ongoing review for tenure and advancement. In the scheduled yearly reviews for probationary faculty (see "Evaluation Calendar") and routine reviews of tenured faculty, for example, no interpretation and evaluation of the person's teaching, scholarly/artistic achievement, or service to the University need be offered beyond those of the faculty member, of the faculty member's supervisor, and, with regard to teaching, of current students (except as noted in the document). PAT does *not* expect that faculty members at those junctures will submit letters from alumni/ae, representative evidence of scholarly/artistic achievement, or letters concerning their work from colleagues on committees with them or at other universities.

In the Major Pre-Tenure Review, however, PAT conducts an assessment of the faculty member's progress toward tenure. The emphasis here is on progress: PAT is well aware that the expectations for a pre-tenure faculty member are not equivalent to those for a tenure candidate. As the Personnel Council stated in a memo of 22 April 1994, "[T]here would still be ample time for the committee to give constructive feedback to the candidate so that she or he could develop further before making a case for tenure." To make the best use of that review and to receive the most helpful feedback from PAT, the faculty member should strive at this point to accomplishments to date in the context of larger goals and strategies for development.

The materials requested, then, are more extensive, including, for example, representative samples of scholarly/artistic achievement. PAT seeks interpretation and evaluation of the faculty member's work drawn from a slightly broader base within the University community (as noted) in order to make a more thorough and thoughtful evaluation of the faculty member's situation but does not, at this stage, seek letters from those outside the University community.

Faculty members under consideration for tenure and/or promotion need to submit a significantly more substantial review file. Here the interpretive and evaluative emphases should be on *the faculty member's achievements* (as opposed to development) in the categories of teaching, scholarly/artistic achievement, and service. At this juncture, PAT considers internal assessments by those involved in evaluating a faculty member's work thus far and considers representative evidence of scholarly/artistic achievement. PAT further solicits assessments of the faculty member's work by some outside the immediate IWU community—evaluations of teaching by alumni/ae, and assessments of scholarly/artistic achievement by colleagues in the broader profession.

In preparing any file for PAT, faculty members should follow one basic principle: be thorough and straightforward in the self-evaluation and back up claims with appropriate documentation. It is this attention to carefully selected, well-organized, and thoughtfully analyzed materials, not sheer quantity, that makes an impressive file.

The following separate sections contain the specific materials needed by the Promotion and Tenure Committee:

- Annual Review Materials (or materials needed each time self-evaluations are filed, if not annually)
- Major Pre-Tenure Review Materials
- Tenure/Promotion Materials

**1) Annual Review Materials (or materials needed each time self-evaluations are filed, if not annually)**

*Curriculum Vitae*

A curriculum vitae with a complete listing of professional achievements over the faculty member's career, highlighting scholarly/artistic achievements since the last evaluation.

*Effective Librarianship*

- Thoughtful self-assessment of one's development as a librarian, including strengths and areas of desired growth.
- Supervisor's assessment of effective librarianship, supported by analysis of areas of concentration
- Summaries of student evaluations of instruction sessions and representative instructional syllabi and assignments, along with evaluative/interpretive comments from both the faculty member and the supervisor (or the supervisor's designee) and reports of supervisor's classroom visits. In team teaching, evidence presented by the faculty member should specify the extent of each person's contribution.

#### *Scholarly/Artistic Achievement*

- Faculty member's self-evaluation of his/her achievements and their contributions.
- Interpretation and assessment of the work by the faculty member's supervisor or the supervisor's designee.

#### *Service*

- In-department service, all-University service, and relevant community service (if any) should be referred to in the self-evaluation, with such explanation as may seem necessary to clarify and assess the extent and importance of the service. No documentation is required.
- Supervisor's assessment of the extent and importance of all relevant service.

#### *Length of Candidate and Supervisor Evaluations*

The candidate's entire self-evaluation narrative should not exceed 10 pages, 12-point, double-spaced. Supervisors' evaluations should not exceed 8 pages, 12-point, double-spaced.

#### *Optional Materials*

No other materials are necessary. However, if a faculty member believes that some aspect of her/his librarianship, scholarly/artistic achievement or service cannot adequately be documented by the materials listed above, the faculty member may choose to supplement the file with any additional materials that would help the members of PAT better understand her/his progress toward tenure or promotion.

## **2) Major Pre-Tenure Review Materials**

#### *Curriculum Vitae*

A curriculum vitae with a complete listing of professional achievements.



*Effective Librarianship*

- Thoughtful self-assessment of one's development as a librarian, including strengths and areas of desired growth.
- Supervisor's assessment of effective librarianship, supported by analysis of areas of concentration
- Summaries of student evaluations of instruction sessions and representative instructional syllabi and assignments, along with evaluative/interpretive comments from both the faculty member and the supervisor (or the supervisor's designee) and reports of supervisor's classroom visits. In team teaching, evidence presented by the faculty member should specify the extent of each person's contribution.

*Scholarly/Artistic Achievement*

- Materials providing evidence of scholarly/artistic achievement should include the following:
  - Representative evidence such as an article; a book; a videotape; a recording; a report of professional service to the community; a design; a photograph of an exhibition; a report of contributions to a professional organization; a report of participation as an editor or referee of a scholarly/artistic journal; software; commissioned work; open/educational resources; grant proposals to support scholarly/artistic activity submitted to external agencies, with evidence of a favorable review, even if not funded; and so forth.
  - If an article or book proposal is accepted, but will not be published until after the deadline, the faculty member is strongly encouraged to submit the letter of acceptance from the publisher, noting, if possible, an approximate publication date. The above list of potential evidence is not exhaustive and will vary according to the faculty member's discipline and her/his area of expertise.
- Materials should address the impact of the faculty member's work. Those materials should be interpretive and evaluative—that is, they should assess the contribution to the faculty member's field. Materials should include the following:
  - Faculty member's interpretation and evaluation of her/his work.
  - Interpretation and evaluation of the work by the faculty member's supervisor or the supervisor's designee.

*Service*

In-department/school service—such contributions will be listed and explained in the self-evaluation, and the faculty member should make sure such service is also addressed in the supervisor's evaluation.

- University service outside the department/school—the nature and extent of this should also be carefully explained in the self-evaluation.
- Documentation should be in the form of notes for the individual's case file from committee/council chairs, addressing the nature and value of the faculty member's service work.

#### *Length of Candidate and Supervisor Evaluations*

The candidate's entire self-evaluation narrative should not exceed 25 pages, 12-point, double-spaced. Supervisors' evaluations should not exceed 8 pages, 12-point, double-spaced.

#### *Optional Materials*

No other materials are necessary. However, if a faculty member believes that some aspect of her/his teaching, scholarly/artistic achievement, or service cannot adequately be documented by the materials listed above, the faculty member may choose to supplement the file with any additional materials that would help the members of PAT better understand her/his progress toward tenure.

### **3) Tenure/Promotion Materials**

#### *Curriculum Vitae*

A curriculum vitae with a complete listing of professional achievements.

#### *Effective Librarianship*

- Thoughtful self-assessment of one's development as a librarian, including strengths and areas of desired growth.
- Supervisor's assessment of effective librarianship, supported by analysis of areas of concentration
- Summaries of student evaluations of instruction sessions and representative instructional syllabi and assignments, along with evaluative/interpretive comments from both the faculty member and the supervisor (or the supervisor's designee) and reports of supervisor's classroom visits. In team teaching, evidence presented by the faculty member should specify the extent of each person's contribution.

#### *Scholarly/Artistic Achievement*

- What has the faculty member achieved? Materials addressing this question should identify and give evidence of achievements. Materials should include:

- Representative evidence such as an article; a book; a videotape; a recording; a report of professional service to the community; a design; a photograph of an exhibition; a report of contributions to a professional organization; a report of participation as an editor or referee of a scholarly/artistic journal; software; commissioned work; open/educational resources; grant proposals to support scholarly/artistic activity submitted to external agencies, with evidence of a favorable review, even if not funded; and so forth.
- If an article or book proposal is accepted, but will not be published until after the deadline, the faculty member is strongly encouraged to submit the letter of acceptance from the publisher, noting, if possible, an approximate publication date. The above list of potential evidence is suggestive, not exhaustive, and will vary according to the faculty member's discipline and her/his area of expertise.
- What is the impact of the faculty member's work? Materials addressing this question should be interpretive and evaluative—that is, they should assess the contribution to the faculty member's field. Materials should include:
  - The faculty member's interpretation and evaluation of her/his work.
  - Interpretation and evaluation of the work by faculty member's supervisor or the supervisor's designee.
  - Interpretation and evaluation of the faculty member's achievements from two colleagues of the faculty member's choice outside the University. Faculty members should choose external evaluators who have demonstrable standing in the field. If an academic is selected, under most circumstances the evaluator should be at or above the rank to which the candidate is seeking promotion. Reviewers must be in a position to give independent judgment about the candidate, free from conflict of interest. Because candidates must demonstrate that their work is respected in their field, letters from dissertation directors and reviewers with a close personal connection to the candidate are not appropriate. Faculty members should forward the names of external evaluators to the Provost's Office in accordance with the Evaluation Calendar for Tenure and Advancement.

#### *Service*

- In-department/school service—such contributions will be listed and explained in the self-evaluation, and the faculty member should make sure such service is also addressed in the supervisor's evaluation.
- University service outside the department/school—the nature and extent of this should also be carefully explained in the self-evaluation.

- Documentation should be in the form of notes for the individual's case file from committee/council chairs, addressing the nature and value of the faculty member's service work.

#### *Length of Candidate and Supervisor Evaluations*

The candidate's entire self-evaluation narrative should not exceed 40 pages, 12-point, double-spaced. Supervisors' evaluations should not exceed 8 pages, 12-point, double-spaced.

#### *Optional Materials*

Additional information addressing teaching (e.g., reports of colleagues' classroom visits) might be supplied in any year when evaluation materials are submitted. Materials beyond those specified previously, however, are *not* required.

Additional materials addressing the question could include additional letters, reviews, articles, or commentary on the achievement from professional journals, awards for or formal commendation of the scholarly/artistic work, and so forth. Here, as elsewhere, the faculty member should concentrate on the quality and representativeness of the additional evidence and not on its quantity. While community service activities are not requirements for tenure or advancement, some such activities could well be documented to supplement University service in faculty members' case files. Faculty members should solicit statements from knowledgeable people to the effect that the service work was valuable to the community and that it was in the faculty member's professional field. It is understood that there may be situations in which soliciting such an endorsement from sources outside the University could lead to misunderstandings. Still, for service to be credited, some sort of documentation is normally necessary, and full explanation should be provided of the reason for the absence of documentation.

#### ***h. Review of Instructional Staff***

The third- and fifth-year reviews will be conducted by April 1 of the employee's third and fifth year by PAT and shared with the candidate, unit chair/director, and the Provost. Successful review of third year will grant a one-year contract and successful fifth-year review will consist of a recommendation for a four-year contract. If the fifth-year review is negative, the employee will be given a one-year terminal contract.

Review Materials are the same for the Initial, Third-Year, Fifth-Year, and Quadrennial Reviews:

*Curriculum Vitae or Résumé*

A Curriculum Vitae or résumé (depending on the conventions of the staff member's professional community) with a complete listing of professional achievements.

*Teaching*

- Thoughtful self-assessment of one's development as a teacher and, if applicable, academic advisor.
- Supervisor's assessment of teaching, supported by reports of the supervisor's classroom visits.
- Staff member's and supervisor's summaries of student evaluations. To facilitate PAT's interpretation of student evaluation summaries in Third and Fifth-Year Reviews, department chairs, school directors and interdisciplinary program directors should keep on file the three most recent years of student evaluations for each instructional staff member. The evaluations themselves would be made available to PAT with advance notice to the instructional staff, if, in PAT'S opinion, raw data were necessary to render an appropriate judgment.
- Representative course syllabi and assignments, along with evaluative/interpretive comments from both the staff member and the supervisor.

*Non-Teaching Responsibilities and Service*

- Thoughtful self-assessment of one's performance as a staff member.
- Department/school service—such contributions should be listed and explained in the self-evaluation, and the staff member should make sure such service is also addressed in the supervisor's evaluation.
- If applicable, university service outside the department/school—the nature and extent of this should also be carefully explained in the self-evaluation.

Under compelling circumstances, and in consultation with the candidate and the Provost, a supervisor may designate another faculty member to write addressing any part of a case: teaching, staff duties, and/or service. When a supervisor elects this option, they should submit a letter as part of the case articulating the compelling circumstances and the appropriateness of the designee. In all cases, the candidate shall have the opportunity to read the supervisor's letter (or the designee's letter) and to sign the letter indicating that they had read it and understands that they had the opportunity to respond, in writing, directly to PAT.

In preparing any file for PAT, faculty members should follow one basic principle: be thorough and straightforward in the self-evaluation, and back up claims with appropriate documentation. It is this attention to carefully selected,

well-organized, and thoughtfully analyzed materials, not sheer quantity, that makes an impressive file. The candidate's entire self-evaluation narrative should not exceed 12 pages, double-spaced, with a 12-point font. Supervisors' evaluations should not exceed 4 pages, 12-point font, double-spaced.

#### **i. The Evaluation Calendar for Tenure and Advancement**

**The following revised evaluation calendar was adopted by the faculty at the April 5, 1999, Faculty Meeting and revised by faculty vote at the November 3, 2003, and April 2, 2007, faculty meetings. Language regarding the deadlines for Major Pre-tenure Review was adopted by the faculty at the April 3, 2006, faculty meeting.**

- **1 March (or the Monday following if 1 March falls on a weekend):** Provost/Dean sends letters to faculty notifying them that they are scheduled to come up for tenure or major pre-tenure review in the next academic year.
- **1 April (or the Monday following if 1 April falls on a weekend):** Deadline for department chairs to notify Provost/Dean of faculty they wish to support for promotion in the next academic year.
- **15 June (or the following Monday if 15 June falls on a weekend):** Faculty members send the names and contact information of external referees to the Office of the Provost.
- **1 July (or the following Monday if 1 July falls on a weekend):** The Office of the Provost sends a request for a letter to the external referees of all faculty coming up for tenure and/or promotion.
- **15 September (or the following Monday if 15 September falls on a weekend):** External letters are due in the Office of the Provost.
- **Mid-August:** Registrar provides randomly selected list of names of 15 alumni/ae for each candidate. (These names are forwarded to the faculty member to review).
- **1 September or the Monday following if 1 September falls on a weekend:** Random list of alumni/ae signed by faculty member and returned to Provost/Dean, with up to five names deleted; also at this time the faculty member provides the Provost/Dean with the names of five alumni/ae to whom we will also send standardized letters and questionnaires.
- **8 September or the Monday following if 8 September falls on a weekend:** Self-evaluations for faculty being considered for tenure and/or promotion are due to the supervisor.
- **8 October or the Monday following if 8 October falls on a weekend:** Supervisor's letter is due to the candidate being considered for tenure and/or promotion.
- **15 October:** All recommendations, evaluations, responses, and supplemental material for promotion and tenure candidates are due in the Office of the Provost. Candidates for tenure and promotion are responsible for checking to

see that their files are complete. Faculty are directed to submit electronic copies of their CV and self-evaluation to the Provost's Office, and supervisors are directed to submit electronic copies of their letter electronically as well.

- **1 November:** Scheduled yearly self-evaluations from probationary faculty are due to supervisors.
- **1 December:** Scheduled yearly self-evaluations and supervisor's evaluations of probationary faculty are due to the Office of the Provost. Faculty members are responsible for seeing that their files are complete. Faculty are directed to submit electronic copies of their CV and self-evaluation to the Provost's Office, and supervisors are directed to submit electronic copies of their letter electronically as well.
- **First day of classes in the spring semester:** Self-evaluations for faculty members submitting files for Major Pre-Tenure Review are due to the supervisor.
- **31 January or the Monday following if 31 January falls on a weekend:** All recommendations, evaluations, responses and supplemental materials for faculty members undergoing Major Pre-Tenure Review are due in the Office of the Provost. Faculty members are responsible for checking to see that their files are complete. Faculty are directed to submit electronic copies of their CV and self-evaluation to the Provost's Office, and supervisors are directed to submit electronic copies of their letter electronically as well.

*Definition of Evaluation Periods:*

This Evaluation Schedule for probationary faculty assumes a typical six-year probationary period leading to tenure consideration. Probationary faculty with shorter probationary periods will arrange evaluation schedules individually with the Provost in consultation with PAT.

- **First Evaluation for Probationary Faculty:** Due in the second year. Covers the first academic year and the summer preceding the evaluation.
- **Second Evaluation for Probationary Faculty:** Due in the third year. This evaluation covers the second academic year and the summer preceding the evaluation.
- **Major Pre-tenure Review:** Due in the fourth year. This evaluation covers your entire time at IWU including the fall semester of the fourth year.
- **Tenure Review:** Due in sixth year. This evaluation covers your entire time at IWU through to the time of submission of your case.

**Appendix: Supplemental Guidelines for Submissions to the Promotion and Tenure Committee**

**NOTE:** This document is supplementary to the Illinois Wesleyan University *Faculty Handbook* and does not replace that document. Each faculty member may face unique circumstances calling for person-specific qualities to one’s presentations to the Committee. Faculty are urged in the strongest possible way to consult with their supervisors when developing self-evaluation documents and compiling accompanying material.

	<b>Major Sections of Self-evaluation Document</b>	
<b>Review</b>	<b>Teaching</b>	<b>Scholarly/Artistic Achievement</b>
<b>First Annual Review</b>	Discuss courses taught at IWU to date and lessons learned. Discuss students’ course evaluations briefly. A modest amount of self-reflection is expected at this stage.	Discuss accomplished projects and those in progress. Briefly discuss near- and mid-term goals and your vision for future work. Clarify your contributions in any co-authored/produced work.
<b>Second Annual Review</b>	Discuss courses taught at IWU to date and lessons learned. Discuss students’ course evaluations. Discuss how your courses contribute to your department/school. Discuss future directions in teaching. A moderate amount of self-reflection is expected at this stage.	
<b>Major Pre-tenure Review</b>	Discuss your successes and areas of needed progress in teaching in some detail. Elaborate your experiences in a representative sample of your courses ( <b><i>no need to discuss them all</i></b> ). Discuss how you have responded (or not) to students’ course evaluations. A substantial amount of self-reflection is expected at this stage.	In addition to above, elaborate more fully a vision for your evolving scholarship/artistry. Discuss goals and if possible time-lines for significant projects to be realized before your tenure review.
<b>Tenure/ Promotion to Associate Professor</b>	Provide a discussion of your teaching philosophy and how you have integrated this philosophy in your classroom. A forthright discussion of your successes and any challenges you have faced is expected. When discussing challenges, be sure to include what strategies you have used to overcome them. Elaborate your experiences in a representative sample of your courses ( <b><i>no need to discuss them all</i></b> ). Discuss how you have responded (or not) to students’ course evaluations. A substantial amount of self-reflection is expected at this stage.	Provide a thorough discussion of your scholarly interest(s) that is targeted toward the non-specialist. Discuss your scholarly <i>achievements</i> and place them in context in your professional field. Describe for the Committee your scholarly path to date, and where you expect to go in the future. In addition to above, elaborate more fully a vision for your evolving scholarship/ artistry. Discuss goals and if possible time-lines for significant projects to be realized before your tenure review.



**Supplemental Guidelines for Submissions to the Promotion and Tenure Committee (page 2)**

	<b>Major Sections of Self-evaluation Document (continued)</b>		
<b>Review</b>	<b>University Service</b>	<b>Curriculum Vitae</b>	<b>Letters of Support</b>
<b>First Annual Review</b>	Little service is expected during the first year. Indicate service opportunities you are seeking during your second year and the near term.	List education, relevant employment history, publications/performances, conference presentations, and professional activities. Entries should either be explained or self-explanatory. Peer reviewed work should be clearly identified and separated from other accomplishments. Date all entries. Include a section on university service listing committee or other duties along with brief descriptions.	Typically brief. Supervisor should explain your core contributions to the department/school. This letter should also reflect on class visitations and personal supervision. Clarify areas of strength and weakness. Summarize significance and provide context of scholarship/artistry to one’s discipline and summarize any university service.
<b>Second Annual Review</b>	Brief discussion of service you have provided for your department and/or at the university level.		
<b>Major Pre-Tenure Review</b>	Discuss your service to the university, the committee elections you have stood for, the committees you have joined, and, importantly, your substantive contributions there.	All of the above.	In addition to above points, this letter should elaborate fully your progress in teaching, scholarship and service. A supporting letter from an IWU peer may help substantiate your service, though such a letter is not required.
<b>Tenure/ Promotion to Associate Professor</b>	Discuss your service to your department, the university, and your profession. An important component in your discussion are the substantive contributions you have provided in the context of your service.	All of the above.	The letter should place your position in the context of the department and elaborate fully on your achievements in teaching scholarship and service. Supporting letters from faculty colleagues with whom you have served are essential at this point.

**Supplemental Guidelines for Submissions to the Promotion and Tenure Committee** (page 3)

<b>Promotion to Full Professor</b>	Supplemental guidelines for tenure/promotion to associate professor should be followed. In addition, it is important to address the three main points that are addressed at the level of full professor. These are: (1) Has the candidate reached a level of professional distinction such that they have achieved recognition from colleagues both within the university and in the broader professional community? (2) As a teacher, has the candidate demonstrated the ability to work with students at all levels, challenging individuals of different ability and motivation to develop their intellectual and/or artistic strengths? (3) Is the candidate a proven leader within the institution, serving as a role model for other faculty and for students?
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**Formatting Suggestions:**

- Incorporate the summary of your teaching evaluations into the narrative
- All written material must be submitted electronically to the Provost's Office as PDF files.
- Provide some biographical information about your external reviewers and the context in which you know them. [Note: external letters are not required for annual reviews and major pre-tenure review].
- Use 12-point, standard type font (e.g., Times New Roman)
  - Annual Review: should not exceed 10 pages, double-spaced
  - Major Pre-Tenure Review: should not exceed 25 pages, double-spaced
  - Tenure and/or Promotion: should not exceed 40 pages, double-spaced
  - Supervisor's evaluations should not exceed 8 pages, double-spaced

(Approved by the Faculty November 4, 2013.)

**Appendix: Promotion and Tenure Records Management Policy**

The goal of this policy is to establish clear, consistent, and reasonable practices for retention and disposal of documents (referred to as “records” in the policy) that PAT creates (e.g., minutes, letters) and reviews (e.g., faculty narratives, CVs) as a body. This policy also establishes that IWU faculty have the ability to inspect their own records in accordance with the Illinois Personnel Record Review Act, Section 2, Open Records (link below).

*Definitions from “Records Management at Illinois Wesleyan University”:*

- “Official copy holder”: office with responsibility for following retention schedule
- “Permanent”: official copy will not be destroyed; suggest transfer to Archives after no more than 10 years in the official copy holder’s office
- “Current”: retain only for the current fiscal or academic year
- “---”: no action necessary

*Documents consulted in the creation of this policy:*

- AAUP Documents & Reports, tenth edition
- [Illinois Personnel Record Review Act, Section 2, Open Records](#)
- [Code of Federal Regulations, 1602.49, Preservation of records made or kept](#)
- [EEOC Summary of Selected Recordkeeping Obligations in 29 CFR Part 1602](#)
- Federal Record-Keeping and Report Requirements for Independent and Public Colleges and Universities, by the National Association of College and University Attorneys, 2005
- [IWU Faculty Meeting Minutes, December 3, 2013](#) (in Faculty Meeting Packet dated January 13, 2014)

Document					Action by who/when		
Records group	Official copy holder	Retention Period	Retention Event	Retention Authority	Destruction	Permanently Retained	Archives/Access
Agenda, full semester	Committee	Current	--	--	Chair/end of semester	--	--
Agenda, meetings	Committee	Current	--	--	Chair/end of semester	--	--
Individual notes	Individual	Current	--	--	Chair/end of semester	--	--
Minutes - public -draft	Committee	Current	--	--	Chair/end of semester	--	--
Minutes - executive - draft	Committee	Current	--	--	Chair/end of semester	--	--
Minutes - public – final	Committee	Permanent	Upon distribution	--	--	University Archives	Retained in Archives
Minutes - executive - final	Provost’s Office	7 years	Upon approval by committee	Faculty/Provost’s Office	Provost’s Office/after 7 years	--	--
Letters - drafts	Committee	Current	--	--	Chair/end of semester	--	--
Letters – final, signed (exception Instructional Staff)	Provost’s Office	Permanent	Upon approval by committee	Provost’s Office	--	Upon retirement of the faculty member, records will be transferred to the University Archives from the Provost's Office	Records will be closed for 25 years after leaving the University or 10 years after the death of the individual, whichever occurs later.
Recommendation letter for Instructional Staff(*)	Provost’s Office	Permanent	Upon approval by committee	Provost’s Office	Provost’s Office/7 years after termination or retirement of the position	--	--
Faculty meeting reports	Provost’s Office	Permanent	Upon distribution	--	--	University Archives	Retained in Archives
Making a Case slides/notes	Provost’s Office	3 years	--	--	--	--	--
Self-evaluation	Provost’s Office	Permanent	Board of Trustees vote	Provost’s Office	--	Upon retirement of the faculty member, records will be transferred to the University Archives from the Provost's Office	Records will be closed for 25 years after leaving the University or 10 years after the death of the individual, whichever occurs later.
Supervisor’s letter	Provost’s Office	Permanent	Board of Trustees vote	Provost’s Office	--	Upon retirement of the faculty member, records will be transferred to the University Archives from the Provost's Office	Records will be closed for 25 years after leaving the University or 10 years after the death of the individual, whichever occurs later.
Letters of support	Provost’s Office	Permanent	Board of Trustees vote	Provost’s Office	--	Upon retirement of the faculty member, records will be transferred to the University Archives from the Provost's Office	Records will be closed for 25 years after leaving the University or 10 years after the death of the individual, whichever occurs later.
CV	Provost’s Office	Permanent	Board of Trustees vote	Provost’s Office	--	Upon retirement of the faculty member, records will be transferred to the University Archives from the Provost's Office	Records will be closed for 25 years after leaving the University or 10 years after the death of the individual, whichever occurs later.
Alumni evaluations	Provost’s Office	Permanent	Board of Trustees vote	Provost’s Office	--	Upon retirement of the faculty member, records will be transferred to the University Archives from the Provost's Office	Records will be closed for 25 years after leaving the University or 10 years after the death of the individual, whichever occurs later.
Teaching evaluations	Provost’s Office	Current	Case decision	Provost’s Office; return to faculty member	--	--	--
Supplemental documents	Provost’s Office	Current	Case decision	Provost’s Office; return to faculty member	--	--	--
Electronic copies of self-evaluation, supervisor's letter, letters of support, CV	**Provost’s Office	Current	Board of Trustees vote	--	Provost's Office/after BOT vote	--	--

**Definitions** from “Records Management at Illinois Wesleyan University”:

- Official copy holder: office with responsibility for following the retention schedule.
- Permanent: official copy will not be destroyed; suggest transfer to Archives after no more than 10 years in official copy holder’s office.
- Current: retain only for the current fiscal or academic year.
- --: no action necessary.
- Destruction: secure shred or delete electronic, as appropriate.

**Notes:**

- \* Physical Plant has contract, process in place for secure shredding.
- \*\* Timeline and responsibility for disposing of electronic documents created by the Provost’s Office will be established.
- (\*) Committee will send an electronic letter recommending or not recommending the faculty to the Provost and this will be communicated to the Instructional staff by the Provost.
- Guidelines above apply to documentation regardless of format (e.g., electronic, print).
- The steps above apply to all tenure and promotion cases regardless of outcome. The National Association of College and University Attorneys (NACUA) recommends “Retention of all records during employment, followed by a seven-year period of retention after termination, is recommended” (Federal Record-Keeping and Reporting Requirements for Independent and Public Colleges and Universities, p. 20).
- According to the Illinois Personnel record Review Act, section 2 (link above), “Every employer shall, upon an employee’s request which the employer may require be in writing on a form supplied by the employer, permit the employee to inspect any personnel documents which are, have been or are intended to be used in determining that employee’s qualifications for employment, promotion, transfer, additional compensation, discharge or other disciplinary action, except as provided in Section 10.” Please visit the link above for more details.
- According to the AAUP Documents & Reports, tenth edition, “Committees A and W have concluded that faculty members should, at all times, have access to their own files, including unredacted letters, both internal and external” (p. 70, Access to Faculty Personnel Files).

## j. Selection of Candidates for Endowed Professorships and Chairs

### 1. Nominating Process

Appointments to endowed professorships and chairs (whether to fill a vacancy or for a new position) begin with the announcement to the campus by the President at the start of the spring semester of the academic year that there is an open endowed position that the university would like to fill if a suitable candidate can be found. A description of any donor stipulations/limitations (specifying area of study, department, etc.) will be included in the President's announcement.<sup>1</sup> Typically, only current IWU full-time faculty who have achieved the rank of full professor are eligible to apply for an endowed chair/professorship. There are special circumstances when new full-time faculty hired at the rank of full professor or full-time IWU associate professors might also be eligible to apply, and should such a circumstance arise the university will make that opportunity clear (see sections 3 and 4, below). Members of the faculty—especially Department Heads and School Directors—are encouraged to forward names of colleagues who they wish to have considered for this recognition. In addition to names forwarded by colleagues, self-nomination is also encouraged. After the deadline for submitting names has passed, the Provost will notify candidates who have received nominations. They will have a period of 45 days from the date of notification to assemble materials in support of their case for the endowed position.

### 2. Criteria for Selection

An endowed professorship represents our highest aspiration for a faculty member on campus. In evaluating candidates for an endowed professorship, the committee looks for demonstrated excellence in each of three areas: teaching, scholarship or artistic contributions, and service.

Consistent with Illinois Wesleyan's classification as a baccalaureate college (Carnegie), the expectation is that teaching, scholarship and service will be in appropriate balance. The committee's review of the candidate's application is holistic as it is expected that excellence in the three areas can be demonstrated in diverse ways, among them:

- in the case of teaching: classroom visits, examples of innovative instruction and contributions to pedagogy, course evaluations, mentorship or engagement of students outside of the classroom or in one's professional

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<sup>1</sup> In the case of a narrowly defined chair for which there might be only one faculty member who meets the stipulations, the President may decide to convene the committee without a general announcement to the campus. This is to avoid embarrassment to that individual if the recommendation is negative.

- life and evidence of outcomes from work with students; and
- in the case of scholarship or artistic contributions: publications in one's field or the teaching of that field, journal articles, peer-reviewed conference presentations, scholarly impact, performances and exhibitions, and awards or distinctions; and
- in the case of service: membership and leadership in committees, work done for journals and publications, departmental work, including as chair or director, and ad hoc work done in service to the university or one's profession.

The committee will look for clear evidence of excellence in teaching. The candidate should pay particular attention to this criterion, as evidence is unlikely to come from outside reviewers, may not be available to other faculty or supervisors, and is not easily reflected on a curriculum vitae.

As the appointment to an endowed professorship is a multi-year, renewable term, the committee will also be interested in learning what professional endeavors lie ahead in the foreseeable future for the candidate. Particularly, the committee will seek to learn in what area(s) the candidate is particularly focused on at this stage of their career and what the candidate sees as tangible career development milestones or outcomes that can be achieved during the term of the endowed professorship. In this regard, the candidate should clearly communicate the promises of teaching, scholarship or service (any one area or multiple areas) that lie ahead and how these endeavors will complement the candidate's past record of success at the university.

Ultimately, a committee recommends an endowed professorship on a record of continuing excellence. As the appointment comes with special funding from an endowment, the recommendation to endowed professorship will be made when it is clear that the candidate represents a strong investment in the mission and life of the university, in particular its students.

The candidate will submit the following materials:

- A current CV
- A personal statement limited to 3,750 words that clearly addresses the candidate's qualifications according to the above selection criteria. The strongest cases are supported by evidence rather than by broad statements or unsubstantiated generalizations.
- A list of two names with contact information for scholars/artists in the field who would be able to provide an external assessment of the candidate's work. The Committee on the Selection of Endowed Chairs and Professorships will solicit two external letters from this list of names. In assembling this list, the candidate should bear in mind that the strongest case for selection will be supported by external evaluators with an

appropriate professional distance from the candidate.

- Two internal letters of support from colleagues not to exceed 1,500 words each, addressing the candidate's qualifications with particular attention to teaching. The strongest letters bring forward evidence rather than broad statements or unsubstantiated generalizations.
- Letters of support from two alumni who are well positioned to bring insights to the committee's considerations.

No additional materials will be considered.

All deliberations of the Committee on the Selection of Endowed Chairs and Professorships shall remain strictly confidential both during the deliberations and after the recipient of the award is announced. All submitted materials will be destroyed following completion of the committee's selection process.

### **3. Criteria for Selection of an Outside Candidate**

It is always preferable to fill an endowed Chair from within the ranks of the university professoriate, but circumstances may occasionally be such that it is desirable to fill a vacancy by bringing in a senior hire from outside. Examples of such circumstances might include: (1) an endowed chair which has remained vacant for an unusually lengthy period of time; (2) a peculiar donor stipulation which is not met by any currently employed professor at the university; or (3) an opportunity to bring in a desired senior hire to fill a curricular gap or a leadership position at the university. If circumstances warrant the appointment of an outside candidate to an endowed Chair position, the review process shall be conducted by a committee composed as described above, and the review process will parallel the process described immediately above as closely as possible.

### **4. Criteria for the Selection of a Candidate at the Rank of Associate Professor**

When an endowed professorship is designated with restrictions such that either:

- there is no full professor eligible for appointment (for example when a professorship is restricted to a specific department without a full professor)

*or*

- the Committee on the Selection of Endowed Chairs and Professorships is unable to identify a meritorious full professor from among those who meet the restrictions,

*and* the restrictions of the endowed professorship do not prohibit it, an endowed professorship may be awarded to a meritorious candidate who is tenured and holds the rank of associate professor. Under such conditions the following stipulations apply:



- The professorship will be awarded for a four-year term.
- The professorship will be nonrenewable (unless the recipient attains promotion to full professor).
- All tenured associate professors who meet the restrictions of the endowed professorship will be eligible to apply.
- The Committee on the Selection of Endowed Chairs and Professorships will evaluate candidates on the merit and their plans for using the endowed professorship to advance their candidacy for promotion to full professor.

Other process/procedural considerations for associate professor candidacy parallel those for full professors.

## **5. Recommendation to the Administration**

The Committee on the Selection of Endowed Chairs and Professorships shall convey the names of up to three suitable candidates for the vacant endowed Chair to the President, in writing with supporting documentation. The recommendation shall include (1) the current vita for each of the candidates recommended; (2) a brief description of how the candidate meets the criteria specified above; and (3) a description of how the candidate meets the qualifications and/or restrictions, which the donor may have specified. The committee may choose to rank the candidates or leave them unranked. The President, in consultation with the Provost, will make the final selection. The Provost will deliver the decision in person to all those who put their names forward; additionally, a formal letter will be sent by the Provost.

The Committee will also prepare a report on an annual basis that contains suggestions for improving the selection process and any comments or observations that the committee would like to be kept on file in the Provost's office for use by subsequent selection committees.

## **6. Reporting and Periodic Review for Reappointment**

As a condition of continued appointment, all holders of endowed chairs shall submit an annual report to the Provost's Office. This report shall consist of two parts: 1) an accounting of how the endowment funds (if any) were used during the preceding fiscal year and 2) a report of activities/accomplishments in the preceding year.

All appointments to endowed chairs and professorships shall be renewable term appointments. The initial appointment shall be for a period of six years; subsequent appointments shall be for a period of five years.

A review and recommendation concerning the reappointment of the incumbent will be undertaken by the Committee on the Selection of Endowed Chairs during the fall semester of the last remaining year of the appointment. The committee will determine whether the incumbent continues to meet the criteria specified for the award and shall forward their recommendation either for or against reappointment to the Provost and President.

In support of reappointment, the endowed professor or chair will submit the following material by September 15 (or the first Monday following that date, if the 15th falls on a weekend):

- A current CV
- A personal statement limited to 2,500 words that clearly addresses the endowed professor's/ chair's continued excellence in teaching, scholarship and/or artistic achievement, and service (please carefully address all bulleted selection criteria above). This statement should be reflective of the accomplishments communicated in annual reports submitted to the Provost and also summarize professional goals for the next five years. It should not include financial information. The strongest cases are supported by evidence rather than by broad statements or unsubstantiated generalizations.

Appointment to an endowed position is separate from appointment to the faculty. It should be clearly understood that the decision to award tenure to the current or prospective holder of an endowed position affects only the regular faculty appointment; it does not imply a commitment for continuance in the endowed position.

Individuals who hold endowed chairs and professorships at the time of their retirement will continue to hold the title or the chair or professorship in conjunction with their emeritus designation.

These guidelines will be reviewed from time to time after implementation to assess the need for revision.

*February 28, 2006: Recommended by a committee to establish criteria for selection of endowed Chairs and Professorships (Lynda Duke, Linda French, Georganne Rundblad, Scott Sheridan, and Tom Griffiths)*

*Spring, 2006: Reviewed by the 2005-06 Promotion and Tenure Committee and the 2005-06 Faculty Development Committee*

*April 17, 2006: Presented to the faculty for comment and revision*

*Spring, 2008: Minor revisions made in response to committee suggestions*

*Fall, 2010: Designation in retirement made in response to committee suggestion*

*Spring, 2013: Ex officio changed to the Associate Dean of Curricular and Faculty Development*

*April 2017: Reviewed and approved by Committee on the Selection of Endowed Chairs and Professorships, the Provost, and the President*

*April 2018: Expansion of eligibility to associate professors approved by the Committee, Provost, President, and full faculty.*

*September 2020: Clarification of the nomination process and the materials submitted by candidates for initial appointment and the renewal of currently held appointments.*

#### **k. Complaints and Grievances**

Complaint and grievance processes for faculty members were revised in the Spring of 2006 and were passed by vote of the faculty on April 17, 2006. To learn about existing procedures, please refer to Article III, Section 10 of *The Faculty Constitution* and Chapter III.B.5 under Hearing Committee Procedures.

### **D. Separation from the University**

#### **1. Retirement**

Effective January 1, 1994, retirement is no longer mandatory if the faculty member is fully capable of meeting obligations. To aid in program planning, faculty members should make their supervisors aware of their retirement plans. The specific conditions of retirement vary by individual needs. It is thus in the best interest of faculty members to discuss their needs and plans with the Provost well in advance of retirement. When possible, the faculty member should provide his/her supervisor and the Provost a written statement of his/her intention to retire by February of the academic year preceding the anticipated year of retirement.

The University recognizes that there may be instances in which retirement before the age at which Social Security or Medicare takes effect may work to the mutual advantage of the University and the individual faculty member. Thus, early retirement based upon mutual agreement may be considered. The University and the faculty member will negotiate the specific conditions of any early retirement on a case-by-case basis. Faculty members interested in early retirement should contact the Provost.

#### **2. Termination Based on Financial Exigency or Discontinuance of Program**

##### **a. Introduction**

Termination based on financial exigency or discontinuance of a program is governed by joint action of the faculty, administration and the Board of Trustees and shall follow the procedures outlined in the AAUP's "Recommended Institutional Regulations on Academic Freedom and

Tenure,” sections 4c, 4d, and 8 in the American Association of University Professors Policy Documents and Reports, ninth edition (2001), from which much of the following language is derived.

Should the university find itself needing to redirect resources in ways that hold the potential for program and personnel elimination, it is essential that the criteria of evaluation, along with the process and personnel involved in the evaluation, be firmly established, widely agreed upon early in the process, and clearly communicated to all stakeholders. The process should, without substantial change, be seen through to completion.

Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of the specified term, may occur under extraordinary circumstances because of a demonstrably bona fide financial exigency, i.e., an imminent financial crisis that threatens the survival of the University as a whole and that cannot be alleviated by less drastic means. Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of the specified term, may occur as a result of bona fide formal discontinuance of a program or department of instruction.

Should the administrative officers judge that such terminations may be necessary for either of these reasons, the administration shall convene CUPP to make recommendations with regard to anticipated terminations. The Hearing Committee shall review all CUPP members to determine conflicts of interest. Replacements are to be chosen by lot from the remaining members of the Promotion and Tenure Committee and Curriculum Council.

**b. Financial Exigency**

As a first step, CUPP should participate in the decision that a condition of financial exigency exists or is imminent, and that all feasible alternatives to termination of appointments have been pursued. CUPP shall exercise primary responsibility for determining where within the overall academic program termination of appointments may occur and the criteria for identifying individuals whose appointments are to be terminated. The latter criteria may appropriately include considerations of length of service. CUPP shall also exercise primary responsibility for identifying individuals whose appointments are to be terminated.

If the administration issues notice to a particular faculty member of an intention to terminate the appointment because of financial exigency, the faculty member will have the right to a full hearing before the Hearing

Committee prior to review by the Board of Trustees. The hearing need not conform in all respects with a proceeding conducted pursuant to Chapter III.B.5.d (“Procedures for Dismissal for Cause”), but the essentials of an on-the-record adjudicative hearing will be observed. The issues in this hearing may include:

- i. The existence and extent of the condition of financial exigency. The burden will rest on the administration to prove the existence and extent of the condition. The findings of a faculty committee in a previous proceeding involving the same issue may be introduced.
- ii. The validity of the educational judgments and the criteria for identification for termination; but the recommendations of a faculty body on these matters will be considered presumptively valid.
- iii. Whether the criteria are being properly applied in the individual case.

If the University, because of financial exigency, terminates appointments, it will not at the same time make new appointments 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 a faculty member without tenure, except in extraordinary circumstances where a serious distortion of the academic program would otherwise result.

Before terminating an appointment because of financial exigency, the University, with faculty participation, will make every effort to place the faculty member concerned in another suitable position within the University.

In all cases of termination of appointment because of financial exigency, the faculty member concerned will be given notice or severance salary not less than as prescribed in the section on Terminal Salary below.

In all cases of termination of appointment because of financial exigency, the place of the 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 in which to accept or decline it.

#### **c. Discontinuance of Program**

Subject to faculty approval, CUPP shall exercise primary responsibility for the decision to discontinue formally a program or department of instruction. This decision will be based essentially upon educational considerations, as determined primarily by faculty. “Educational

considerations” do not include cyclical or temporary variations in enrollment. They must reflect long-range judgments that the educational mission of the University as a whole will be enhanced by the discontinuance.

Before the administration issues notice to a faculty member of its intention to terminate an appointment because of formal discontinuance of a program or department of instruction, the University will make every effort to place the faculty member concerned in another suitable position. If placement in another position would be facilitated by a reasonable period of training, financial and other support for such training will be proffered. If no position is available within the University, with or without retraining, the faculty member’s appointment then may be terminated, but only with provision for severance salary equitably adjusted to the faculty member’s length of past and potential service.

A faculty member may appeal a proposed relocation or termination resulting from a discontinuance and has a right to a full hearing before the Hearing Committee prior to review by the Board of Trustees. The hearing need not conform in all respects with a proceeding conducted pursuant to Chapter III.B.5.d (“Procedures for Dismissal for Cause”), but the essentials of an on-the-record adjudicative hearing will be observed. The issues in such a hearing may include the University’s failure to satisfy any of the conditions specified in this section. In such a hearing a faculty determination that a program or department is to be discontinued will be considered presumptively valid, but the burden of proof on other issues will rest on the administration.

In all cases of termination of appointment because of discontinuance of a program the place of the 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 in which to accept or decline it.

**d. Terminal Salary or Notice**

If the appointment is terminated, the faculty member will receive salary or notice in accordance with the following schedule: at least three months, if the final decision is reached by March 1 (or three months prior to the expiration) of the first year of probationary service; at least six months, if the decision is reached by December 15 of the second year (or after nine months but prior to eighteen months) of probationary service; at least one year, if the decision is reached after eighteen months of probationary service or if the faculty member has tenure. This provision for terminal

notice or salary need not apply in the event that there has been a finding that the conduct which justified dismissal involved moral turpitude. On the recommendation of the Hearing Committee or the president, the Board of Trustees, in determining what, if any, payments will be made beyond the effective date of dismissal, may take into account the length and quality of service of the faculty member.

### **3. Review**

In cases of termination of appointment, the Board of Trustees will be available for ultimate review.

### **4. Dismissal for Cause**

Dismissal for cause of a faculty member with continuous tenure or with a special or probationary appointment before the end of the specified term will be directly and substantially related to his/her professional fitness as a teacher or scholar and will follow procedures set forth in Chapter III.

### **5. Responsibilities of Departing Faculty**

Departing faculty are required to turn in all grades, records, or gradebooks (needed in the event of student appeals), and a forwarding address to the Provost and Registrar before leaving campus. Copies of such grades, records or gradebooks shall be forwarded to the departing faculty member's immediate supervisor. In addition to such records, all keys to University facilities and any University-owned equipment must be returned to the faculty member's supervisor.

### **E. Procedures for Imposition of Sanctions Other Than Dismissal**

If the administration believes that the conduct of a faculty member justifies the imposition of a minor sanction, such as a reprimand, it will notify the faculty member of the basis of the proposed sanction and provide the faculty member with an opportunity to discuss the sanction. A faculty member who believes that a minor sanction has been unjustly imposed, or that a major sanction, such as a suspension, has been incorrectly imposed under this paragraph, may, pursuant to Chapter III, Section 5 (Hearing Committee Procedures), Subsection b. (Formal Procedures for Hearing Grievances), file a grievance with the Hearing Committee.

## **F. Selection, Review, and Terms of Academic Administrators**

### **1. Review of the Provost**

The President shall seek CUPP's assistance in securing feedback from the faculty on the Provost's performance as part of the comprehensive review that is conducted every four years. CUPP will survey the faculty and incorporate the responses into its draft report on the Provost. CUPP will invite the Provost to comment on the draft report before it is made final and forwarded to the President. Finally, the President will schedule two meetings to discuss the final report, one with CUPP and one with the Provost. CUPP's role in the evaluation of the Provost is to solicit feedback from the faculty, collect and review the data, and provide a report to the President outlining the Provost's strengths and weaknesses. All information gathered by CUPP, including the final report, shall be kept confidential. Information collected will be made available to the President upon request.

### **2. Review of the Associate Provost**

The Provost shall seek CUPP's assistance in securing feedback from the faculty on the Associate Provost's performance as part of the comprehensive review that is conducted every four years. CUPP will survey the faculty and incorporate the responses into its draft report on the Associate Provost. CUPP will invited the Associate Provost to comment on the draft report before it is made final and forwarded to the Provost. Finally, the Provost will schedule two meetings to discuss the final report, one with CUPP and one with the Associate Provost. CUPP's role in the evaluation of the Associate Provost is to solicit feedback from the faculty, collect and review the data, and provide a report to the Provost outlining the Associate Provost's strengths and weaknesses. All information gathered by CUPP, including the final report, shall be kept confidential. Information collected will be made available to the Provost upon request.

### **3. Review of Associate Deans**

The Provost shall seek CUPP's assistance in securing feedback from the faculty on the Associate Dean's performance as part of the comprehensive review that is conducted in the third year of the first appointment if seeking reappointment. CUPP will survey the faculty and incorporate the responses into its draft report on the Associate Dean(s). CUPP will invite the Associate Dean to comment on the draft report before it is made final and forwarded to the Provost. Finally, the Provost will schedule two meetings to discuss the final report, one with CUPP and one with the Associate Dean. CUPP's role in the evaluation of the Associate Dean is to solicit feedback from the faculty, collect



and review the data, and provide a report to the Provost outlining the Associate Dean's strengths and weaknesses. All information gathered by CUPP, including the final report, shall be kept confidential. Information collected will be made available to the Provost upon request.

#### 4. Selection, Term, and Review of a Department Chair/School Director

The selection of a new Department Chair or School Director will begin with an internal review of the potential candidates by the department or school members. If there is more than one candidate, the Chair or Director will normally be chosen by departmental or school election. The election shall be conducted by the Provost's Office and be by secret ballot. All tenured and tenure-track faculty members of the department are eligible to vote in the election. Regardless of how the chair is selected, a majority of the tenured and tenure-track faculty of the department needs to approve the appointment. Except in extraordinary circumstances, which should be stated to the members of the department or school in detail, the wishes of the faculty will be respected by the Provost.

If the department or school cannot successfully select a chair or director through an election or the Provost deems it necessary because of extraordinary circumstances, an interview will be conducted with each member of the department or school. The interviews will focus on the future aims and goals of the department or school as well as the members' views on the Chair or Director selection. The interviews will be confidential.

If the department or school members so choose, the interviews will be conducted by the Provost alone. If the members prefer, they may choose one or two impartial faculty members from outside the department or school to advise and assist the Provost during the selection process. The selection is ultimately the decision of the Provost who will work closely with department or school members and any advisors they choose.

In most cases, the standard term for a Chair or Director is three years without prejudice to reelection.

Review of a chair or director is to be conducted from the top-down by the Provost, and from the bottom-up by the full-time faculty in the department or school. The review will assess an individual's capacity for *leadership, communication, fairness, and professional responsibility* in the following areas (with emphasis and content varying depending on the specifics of the department or school): chairing meetings; meeting deadlines; reviewing and developing curriculum (for the majors and Shared Curriculum); scheduling courses and assigning faculty to teach them; conducting searches (tenure-track,

visiting, and adjunct); promoting faculty development; conducting personnel evaluations; involving unit faculty in decision-making; fostering a culture of excellence; promoting good relations among unit faculty; recruiting students; working with majors and student groups; representing the unit to outside bodies; and working with the administration.

The bottom-up review of a chair or director will be undertaken before the second semester of the third year of each term the individual serves. The review will consist of a brief, anonymous questionnaire that has been approved by the Provost. The forms will be returned to the Provost's office, and the Provost will provide a summary of the contents to the supervisor. The supervisor will discuss any insights learned from the reviews with the members of the department or school. The Provost will discuss the results with the chair or director as part of the top-down review and will provide the faculty in the department with the principles, procedures, and criteria of the review, including a statement of whether a reappointment has occurred.

#### **G. Kemp Foundation Award for Teaching Excellence**

The recipient of the Foundation Award for Teaching Excellence is selected by IWU's Promotion and Tenure Committee based on nominations received from members of the faculty. The award recognizes teaching, scholarship, and service. It is the University's top teaching honor.

##### *Procedures for Nomination*

- The Provost's Office will distribute a Call for Nominations to all full-time faculty members during the Spring semester. Accompanying the Call will be a list of all tenured faculty members who have not won the Award previously. Past winners and current members of PAT are not eligible for the award.
- Faculty may nominate only a single individual from among the list of eligible faculty members.
- Nominators must submit a letter of nomination to the Chair of PAT explaining why the nominated individual deserves to receive the Award. The letter should provide, to the best of the nominator's ability, evidence of the nominee's qualification for the Award.

##### *Letters of Nomination*

One of two kinds of letters may be submitted to the Promotion and Tenure Committee along with the name of the nominee.

- Particularly valuable to the Committee will be letters that document in comprehensive fashion, the nominee's strengths as a teacher and her or his continuing efforts to deliver education of the highest caliber to students at all

levels. Such letters may be composed by current or former chairs and school directors or by anyone acquainted with the nominee's pedagogy, accomplishments in the classroom, and effects on student learning.

- Letters documenting the nominee's achievements in one or more dimensions of teaching excellence, as such achievements are known to the nominator, are also valuable to Committee as supporting testimony.

Information of high value to the Committee may include some combination of the following:

- Evidence of the nominee's ability to inspire students' curiosity, love of learning, idealism, creative aspirations, ethical awareness, and/or sense of professionalism.
- Evidence of creative and effective course design, course revision, and new course development.
- Observations of classroom teaching, clinical instruction, or instruction in the performing arts.
- Reports of student and alumni assessment of teaching performance.
- Indications of the nominee's special, perhaps indispensable contributions to her or his department, school or academic program.
- Evidence of the nominee's continuing development as a scholar, performing artist or practitioner, especially in regard to the sharing of knowledge, research methods or clinical expertise with advanced students, for example, through collaborative research, fieldwork experience, and encouraging student participation in the John Wesley Powell Conference and other academic and professional venues.
- Reports of the nominee's contributions to the intellectual life of the campus through public speaking, bringing guest speakers to campus, participating in colloquia, panels and reading groups, and advising student groups devoted to public dialogue and debate.

#### *Selection Process*

- Before beginning its discussion, PAT will review the procedures and desiderata above.
- For all nominees, the current *curriculum vitae* on file in the Provost's Office will be distributed to the members of PAT along with copies of the letters of nomination.
- The Committee will discuss the merits of each nomination and then vote to determine the individual to be designated as the next teaching award winner.

## Chapter V: Faculty Responsibilities, Resources, and Related Policies

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## A. Teaching Responsibilities

As stipulated in the “AAUP Statement on Professional Ethics” (see Chapter VI), faculty members, convinced of the dignity and worth of their profession, recognize that their primary responsibility is to know their subject and to advance its truths as they perceive them. Although they may follow subsidiary interests, these interests must never seriously hamper their effectiveness as teachers. As faculty members, their primary obligation is to meet their teaching responsibilities fully and effectively.

### 1. Teaching Load

For full-time faculty under the students’ 4-4-1 course unit system, the teaching load is normally six course units per year. Release time for administrative duties or special University service is not automatic for any faculty position and must be negotiated with the Provost in each individual case. Instructional staff members’ teaching responsibilities include no less than one-third and no more than two-thirds of a full-time teaching load, including May Term. An academic unit may ask the Provost for an exception to this range for up to a total of five-sixths in a single academic year, including May Term. If the instructional staff position involves teaching lab sections attached to another course, the employee may teach up to five-sixths time without the academic unit asking for a yearly exception.

Adjustments to the usual scheduling guidelines may be applied in cases where responsibility for a course is shared, where course enrollments are inordinately large or small, or where a significant portion of the faculty member’s time is necessarily devoted to small group or individual instruction; e.g., laboratory and studio courses. These adjustments in individual teaching loads are made on the basis of such factors as the following:

- Amount of direct student contact (in class).
- Amount of indirect student contact, such as paper grading.
- Total enrollments.
- Amount of support assistance available, such as student assistants.
- Staffing alternatives to meet student needs.
- Non-teaching duties.

Faculty members and instructional staff who are in some way dissatisfied with their teaching load should discuss the matter with the Department Chair, School Director, and/or with the Provost.

Some leadership positions on campus result in the release of teaching time to accommodate administrative duties associated with the leadership role. A course

release indicates that the work associated with the position involves work that is equivalent to teaching a course. The positions listed below will be compensated with the following number of course releases:

Writing Program Director:	2
Assessment Committee Chair:	1
CC Chair:	1*
CETAL Chair:	1
CUPP Chair:	2
FDC Chair:	1
PAT Chair:	1

\*In periods of significant curricular change, it is possible a second course release could be negotiated (e.g., General Education reform)

## 2. Evaluations by Students

On March 5, 1973, and amended on May 2, 1994, the General Faculty, acting on a recommendation from the Personnel Council (now the Promotion and Tenure Committee and the Faculty Development Committee), adopted a policy requiring standard student evaluations of each faculty member's courses. On March 29, 1999, the procedures and forms for obtaining student evaluations were revised by the faculty and are attached here as Figures V.1 and V.2. The primary purpose of this policy is to facilitate improved teaching effectiveness.

Evaluation forms are completed by students and held in the Office of the Registrar until final grades for the course are turned in by the faculty or instructional staff member. This provides students with assurance that their grades will not be affected by their responses. Annually, after reviewing the evaluations, each faculty or instructional staff member should prepare a summary and file the completed forms with their supervisor. The forms must be kept on file in the Department or School office for a period of three years and must be made available upon request of the Promotion and Tenure Committee.

*Figure V.1*

To: Faculty  
From: Mark Brodl  
Re: Course and Instructor Evaluation Forms

Enclosed you will find a sufficient number of course evaluations for your current semester classes. Please look over the following information about procedures carefully.

PROCEDURES: It is expected that all courses you teach will be evaluated unless there are difficulties or circumstances that cannot be overcome. Students are clearly interested in participating in course evaluations. Please provide your students the opportunity to complete and submit their evaluations. Summaries of these evaluations by supervisors and faculty will be required as part of the self-evaluation and supervisor evaluation process.

1. Use the evaluation form provided for all your courses. Faculty wishing to include additional instructor's option questions are free to do so on an additional page.
2. Faculty members should set aside class time during the last two weeks of the semester to administer the evaluation. It is suggested that the date of the questionnaire administration be announced prior to the actual date in order to encourage the largest possible response. Faculty waiting until the end of the hour should leave at least 30 minutes for students to complete the form.
3. When you introduce the evaluation process to your students, you are encouraged to explain that the feedback given by students will be used by you to improve your teaching and by your supervisor as part of the faculty evaluation process.

After you have introduced the questionnaire, a student should be assigned to distribute the blank forms. One or more students should be selected from the class to be responsible for collecting the completed forms in the envelope provided, and returning them directly to the Registrar's Office. The Registrar's Office will send you a receipt verifying that the forms were received.

4. Faculty members should absent themselves while students are completing the forms.
5. For tenure-line and tenured faculty, the Registrar's Office will hold the completed questionnaires on file until the grades for the course are posted by the faculty member, at which time the evaluation questionnaires will be given to the faculty member.
6. After you have reviewed the completed forms, you are to submit them to your supervisor. Course evaluations will be kept on file in your supervisor's office for three years, during which they will be made available to you for use in the self-evaluation process. After three years, they will be returned to you.
7. For adjunct and visiting faculty, questionnaires will be sent to supervisors, who will, in turn, discuss them with the adjunct/visitor. Evidence from these forms must be submitted by supervisors wishing to re-hire adjuncts/visitors.



**IWU INSTRUCTOR AND COURSE EVALUATION FORM**

**Course Title** \_\_\_\_\_ **Course number** \_\_\_\_\_  
**Term:** Fall \_\_\_ Spring \_\_\_ May \_\_\_ **Year:** \_\_\_\_\_ **Instructor's Name** \_\_\_\_\_

Please provide thoughtful comments in response to the following questions about the course. You may attach an additional sheet if necessary.

**I. Evaluate the Course Design and Content.** (Within your response, you may discuss which papers, projects, or other assignments provided the best learning opportunities; which readings were most and least helpful; the usefulness of the syllabus in clarifying course goals and expectations; and the level and amount of work.):

**II. Evaluate the Quality of Instruction.** (Within your response, you may discuss whether the instructor challenged you; opportunities the instructor provided for student participation, meaningful discussion, and/or student questions during class; the clarity of class presentations or lectures; the extent to which laboratory and/or clinical experiences were effectively integrated into the course; and the connection of class activities to course goals.):

(Please turn page over)

*Figure V.2*

**III. Please elaborate on the quality of your learning experience.** (Within your response you may address the value of what you learned from the course; how the course may have changed you; and whether it was a worthwhile experience for you overall. Please include any suggestions you have for changes that may enhance the learning experience for future students.):

**IV. Please respond to the following questions about the course and instructor according to the scale below.**

	1 - strongly disagree	2 - disagree	3 - neither agree nor disagree	4 - agree	5 -strongly agree
	strongly disagree	disagree		agree	strongly agree
The instructor's expectations were clear.	1	2	3	4	5
The instructor was prepared for class.	1	2	3	4	5
As a student, I was generally prepared for class.	1	2	3	4	5
The instructor seemed genuinely concerned about student progress.	1	2	3	4	5
The instructor was available for help outside of class.	1	2	3	4	5
The degree of difficulty of this course was appropriate.	1	2	3	4	5
The instructor provided meaningful criticism and comments on my work.	1	2	3	4	5
The instructor treated students fairly.	1	2	3	4	5
The instructor fostered an atmosphere of mutual respect.	1	2	3	4	5
This course has increased my interest in the subject matter.	1	2	3	4	5
The instructor challenged me intellectually.	1	2	3	4	5
Overall, I would recommend this course to another student.	1	2	3	4	5
Overall, I would recommend this instructor to another student.	1	2	3	4	5

**V. Optional Background Information**

Your Major: \_\_\_\_\_ Your expected grade \_\_\_\_\_ Your Gender: \_\_\_Female \_\_\_Male

Your Class: \_\_\_Freshman \_\_\_Sophomore \_\_\_Junior \_\_\_Senior

Your reason for taking this course (check all that apply):

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Major or minor requirement    | <input type="checkbox"/> Elective within major or minor  | <input type="checkbox"/> Interest in the subject  |
| <input type="checkbox"/> General Education requirement | <input type="checkbox"/> Elective outside major or minor | <input type="checkbox"/> Reputation of instructor |
| <input type="checkbox"/> Recommended by my advisor     | <input type="checkbox"/> Recommended by another student  |   |

### 3. Faculty Class Attendance

It is understood that faculty will meet with their courses as scheduled in Banner. In cases where alternative activities such as individual conferences are substituted for regular class meetings, it is expected that the faculty member or instructional staff member will file a course plan with the Department Chair or School Director. This procedure equips the University to deal with parents and others who are misinformed about the instructional program or who are unsympathetic to innovative teaching techniques. When a faculty member needs to be absent from classes due to speaking engagements or attendance at professional meetings, the [Faculty Travel Request Form](#) should be used prior to travel to gain the Approval of the Department Chair or School Director and the Associate Dean for Scholarly and Creative Work. In cases of acute illness or other isolated, unexpected absences the Department Chair or School Director should be notified as soon as possible and efforts should be made to have appropriate notices placed in the classroom. Administrative specialists may assist in these efforts. When feasible, a colleague may be asked to serve as guest instructor or remote instruction may be used. In the event that illness or other circumstances cause a faculty member to be absent for more than one week, the faculty member should notify the Provost and HR and work with the Department Chair or School Director to make alternative arrangements for the students. Excessive course cancellations (a single absence longer than one week or cumulative absences exceeding a total of two weeks) without administrative approval and alternate teaching arrangements in place, are unacceptable and may be referred to the Hearing Committee for resolution.

### 4. Class Schedules

During the fall and spring semesters, most regular classes are scheduled during the first fourteen weeks in fifty-minute periods meeting three times a week (MWF), or seventy-five-minute periods meeting two times (TTH/MW/MF). In addition, there are some large time blocks available in the afternoons and occasionally evenings to accommodate laboratory work, film screenings, and seminar meetings. The final week of the semester features two-hour blocks to be used for administration of final examinations or for class meetings. During the May Term and Summer Sessions, regular classes meet daily, with one day set aside for final exams at the end.

The class schedule ensures that time and space will be available for class meetings. It is not intended to enforce rigidity in the instructional program, and an opportunity for special arrangements is always open to the individual faculty or instructional staff member. Department Chairs/School Directors should consult with the Registrar about proposed class schedules in their areas to ensure that appropriate instructional space is available.

In the unlikely event that a faculty or instructional staff member wishes to change the meeting time of a course after registration has taken place, the faculty or instructional staff member should contact the Associate Registrar and ask her/him to email all of the students enrolled in the course with details of the proposed change. The students will be asked to respond directly to the Associate Registrar, letting her/him know whether or not the proposed time will work. If every registered student is able to accommodate the change, then the course may begin meeting at the new time. Any proposed time changes should fall within our defined course meeting times.

In order to allow our students to fulfill their obligations to all courses and activities, required attendance at events that are not held during the regular class period should not occur without providing flexibility that allow students who are unable to attend the ability to complete the requirement in some other way.

## 5. Course Syllabi

Each faculty and instructional staff member is required to produce and distribute, preferably at the first class meeting, but in any event within the first week of classes, a written syllabus explaining the aims, scope and format of the course, readings and other class experiences, such as class discussions, panels, quizzes, papers, and examinations. The syllabus must also include class attendance policy, grading policy, and office hours. Written course outlines, where appropriate, are strongly encouraged.

All departments and schools should institute and maintain policies whereby syllabi or other descriptions of course procedures for all courses offered are collected by the Department Chairs and School Directors. Syllabi for Gateway and May Term courses should also be filed in the Thorpe Center with the Associate Dean for Curriculum and Instruction.

A schedule is hereby suggested whereby syllabi should be collected by Department Chairs and School Directors.

1<sup>st</sup> Semester and 2<sup>nd</sup> Semesters: All syllabi should be submitted by the end of the third week.

May Term: All syllabi should be submitted by the end of the first week.

Adapted from policy statements adopted by the General Faculty April 10, 1973, November 4, 1974, Updated to reflect the change in IWU's Academic Calendar, effective 1995-96. Updated to reflect the change in the structure of the Academic Administration, summer 2010.

## 6. Office Hours

Faculty office hours are considered to be very important in view of the University's emphasis on teaching, advising, and personal contact between faculty and students. Each faculty or instructional staff member must post and maintain a schedule of regular office hours amounting to at least five hours per week. Although unstructured office hours are preferred, it is acceptable practice for a faculty member to use sign-up software to allow students to reserve time during posted office hours. In that event, the scheduling link should be posted along with regular office hours. It is suggested that hours be scheduled so that individual students will not experience multiple conflicts because of a single course. Each faculty or instructional staff member must file a schedule of office hours with the Provost at the beginning of each term, update their schedule in the online system, and should announce it to each class. Notice of schedule changes during the term should also be sent to the Provost and announced. Whenever possible, advance notice of hours that will be missed should be posted with the schedule on the office door.

## B. Policies Related to Teaching

### 1. Student Class Attendance

It is the responsibility of instructors to inform students of their attendance policy for each course. The attendance policy should be clearly written and visible in the course syllabus, and should include: clear instruction on how to communicate absences to the instructor, whatever opportunities or responsibilities the student has to make up coursework based on the instructor's determination, and contact information for services such as Arnold Health Services and Counseling and Consultation Services. Sample syllabus language is available online.

Students are expected to attend classes regularly. In cases of unavoidable absence, including health concerns (e.g., physical or mental), family emergencies, or religious observances, it is the student's responsibility to inform the instructor as soon as possible but no later than 48 hours after their absence. Instructors may make their own policies based on course needs or disciplinary requirements, and these should be clearly delineated within their syllabi. Health Services will provide evidence to instructors of medical attention at the request of any student.

It is the individual student's responsibility to notify instructors in advance of absences resulting from University-approved functions. University-approved non-academic activities which conflict with class schedules do not automatically take precedence over regular class work.

Instructors are encouraged to exercise reasonable flexibility in accommodating students with absences that are a result of University-approved functions or non-academic activities. (Refer to section on Student Travel, V.B.9.)

When a student's absences are in excess of those permitted by the policy of the instructor, it will be assumed that unless otherwise demonstrated, the student has decided not to fulfill the attendance/participation requirements of the course. If the instructor's attempts to communicate with the student are unsuccessful, the instructor should submit a [Student of Concern](#) form with the Office of Student Affairs, so that the cause may be ascertained and assistance provided, if necessary and if possible. If the absences continue, the instructor may choose to meet with the Dean of Students and the Associate Provost to discuss how best for the student to proceed (i.e., arrange accommodations, withdraw from the course, or take an incomplete).

## 2. Tests and Examinations

Final course assignments or exams are administered during and not before the regularly scheduled time during "finals week". Comprehensive final examinations are not a mandatory part of every course, but a final exam or other activity must be administered during the scheduled exam period. Exams or other graded assignments scheduled earlier in the semester may come due during the last week of classes, but faculty and instructional staff members are strongly discouraged from assigning proximal to and due during the last week of classes additional exams, projects, or papers. Students are encouraged to prepare for final exams throughout the semester and to use reading day(s) for further preparation. These recommendations allow for better student and instructor preparation for final exams.

Evening exams or exams scheduled at other times outside the ordinary class days such as on weekends should be avoided. When they are necessary, however, such examinations may be given, provided they do not conflict with any regularly scheduled University event which involves one or more members of the class. Rooms for this purpose may be reserved at the Registrar's Office and time spent in administering such examinations may be substituted for class time required in the regular schedule.

## 3. Grading Policies

Each faculty member is responsible for informing students in each course as to the bases upon which work will be evaluated and the methods by which final grades will be computed. (Refer to the appropriate sections of the University Catalog for overall policies and standards relating to grade designations.)

Midterm grade reports are required of all faculty and instructional staff for all

students. These reports are also sent to the individual student's faculty advisor, and to the parents of first-term, first-year students. Mid-term grades are intended to give students who are doing unsatisfactory work adequate warning prior to the end of the term. Midterm grade reports are key to effective student-faculty communication, as is the practice of returning graded work to students in a timely manner. Both provide a catalyst for students to regroup, adjust, and improve with the faculty member's support. Therefore, at mid-term, the Registrar shall remind faculty members to submit grade reports for all students.

Final grade reports are accessible to the parents/guardians of all dependent students if a student has given prior permission. The individual faculty member is responsible to the students and to the Registrar for submitting final grade reports according to the schedule established by the Office of the Registrar. Failure to meet the deadline for turning in grade reports creates serious inconvenience to the students involved. After the final grade for a student has been submitted to the Registrar's Office, no change may be made except to correct a demonstrated clerical error. Notification of the error and the change should be sent to the Registrar.

Individual faculty members should retain their gradebooks and/or relevant records pertaining to student performance in their classes for a period of not less than four years. Upon the faculty member's separation from the University, these records are to be left with the faculty member's immediate supervisor or the Registrar.

#### 4. Grading System

Effective with the 1997-1998 academic year, the grading system at Illinois Wesleyan University converted from a flat A, B, C, D, F scale to one that includes the following distinctions, quality points, and definitions. The faculty implemented this change to acknowledge academic achievement at all levels, and especially to reward high attainment within a grade range. The faculty's aim is to communicate the most accurate information possible about student performance through an Illinois Wesleyan University transcript. Faculty and instructional staff members are encouraged to communicate clearly the standards on which they will base grades in each course they teach.

A (4.0), A- (3.7)	Credit for work of superior quality
B+ (3.3), B (3.0), B- (2.7)	Credit for work of good-to-very-good quality
C+ (2.3), C (2.0)	Credit for work of acceptable but not distinguished quality
C- (1.7)	Credit for work of marginal quality

D (1.0)	Credit for work of poor quality
F (0.0)	Failure
Cr	Passing; not computed in grade point average
N. Cr.	No credit; not counted in grade point average
Inc.	Incomplete; used when course requirements are not completed due to circumstances beyond a student's control; not counted in grade point average; reverts to an F (in graded courses) or an N. Cr. (in credit/no credit courses) after one semester if not changed to a passing grade
I.P.	In progress; used when course requirements, by definition (as in some travel courses), cannot be completed within the normal grading period.
Au.	Audit
Dp.	Dropped course; used during first eight weeks of a semester or the first two weeks of May Term; not counted in grade point average
W	Official withdrawal from the University during the first eight weeks of a semester; not counted in grade point average

A student's cumulative grade point average (GPA) is determined by dividing the total number of earned quality points by the total number of graded units of credit for which he/she has been enrolled. To remain in good standing academically, a student must maintain a cumulative grade point average of 2.0 (C). Normally, only those students with cumulative GPAs of 1.5 or above at the end of the first year, 1.8 or above at the end of the second year, and 2.0 or above at the end of the junior year are permitted to continue their studies at Illinois Wesleyan University.

The Credit/No Credit Option permits students to take selected courses for a grade of Credit or No Credit. Policies governing the use of this option are specified in the *University Catalog*. Instructors are not informed when a student is taking a course for credit or no credit. Regular grades are submitted to the Registrar's Office where they are converted to credit or no credit according to uniform standards of credit for "C-" and above and no credit for "D" or "F". Faculty and instructional staff members should consult the most recent *University Catalog* for further information on grading and other academic standards.

## 5. Students of Special Concern

Students with disabilities covered by Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act (ADA) of 1990 may apply for approved accommodations via the Office of Student Accessibility Services. Faculty of students with accommodations will receive an e-mail detailing the student's accommodations with the student cc'd onto the e-mail. Students who request accommodations from their faculty but do not have an e-mail documenting accommodations should be referred to the Office of Student



Accessibility Services. Any other questions concerning disabilities should also be directed to the Director of Accessibility Services.

Occasionally a student experiences a physical, mental, or emotional crisis during the semester. If you believe you have knowledge of such a situation, please notify the Dean of Students' Office. You may also consult the Mental Health Action plan or Counseling and Consultation Services. Quite possibly these offices will already be working with the student in question, but at times you may be providing the first alert.

Faculty should not demand information from a student of concern. Instead, the Dean of Students Office should be contacted, and at your request, will provide you with any information that they are legally able to share. However, please be aware that we work within a complex network of legal constraints and guarantees of privacy which include the federal statutes already mentioned as well as the Family Educational Rights and Privacy Act (FERPA) and the Health Insurance Portability and Accountability Act (HIPAA). The University must exercise great care in providing information, and often the faculty cannot be provided with the amount of information they wish they had. These are the realities of the current regulative environment rather than insensitivity to faculty concerns.

## 6. Student Complaints about Faculty or Instructional Staff Members

Although faculty/student and administrative/student interactions at Illinois Wesleyan are generally cordial and productive, *The Constitution of the Faculty* gives students the same rights to bring grievances involving members of the faculty or administration as other members of the IWU academic community. According to the *Constitution*, "The Hearing Committee provides a formal process for hearing grievances brought by students, faculty or members of the administration against members of the faculty or administration." Like other complaints, however, student grievances must first go through all other efforts at resolution as provided by the *Faculty Handbook* and *Student Handbook* before the Hearing Committee will agree to become involved. The *Student Handbook* offers the following paragraph about how to pursue such grievances:

The Provost and Dean of the Faculty is open to student complaints or suggestions concerning the quality of academic courses and programs, the performance of faculty and instructional staff members, or the effectiveness of other aspects of academic administration (facilities, records, the calendar, standards, etc.). Students should first bring such concerns to the attention of the department, school, or program head. If a satisfactory resolution to the concern is not possible, then students may submit their concerns to the Provost and Dean of the Faculty in writing or arrange a conference. Confidentiality of such communications will be strictly maintained to prevent fear of reprisals from

those subjected to criticism unless the student gives explicit permission for the information and/or his or her name to be used.

In practice, the Provost agrees to hear student complaints only after ascertaining that students have first tried to address their concerns by discussing them with the faculty or instructional staff member involved or by bringing them to the attention of the relevant Department Chair/School Director. Only when these channels have been exhausted or when students express reluctance to use these more direct means of resolving their concerns does the Provost become involved. After hearing a student complaint, the Provost consults with the appropriate supervisor to discuss the best way to settle the matter in a manner that respects the rights and interests of all parties involved. In almost all cases, complaints can be resolved at the lowest possible level, and successful communication between the faculty or instructional staff member and the complaining student(s) can be restored.

The Higher Learning Commission, IWU's accrediting body, requires the University to keep a log of all formal student complaints received. This record, maintained in the offices of the President, the Provost, and the Dean of Students, must be shared with our accreditors, but individual identities will be shielded to protect the privacy of all those involved with complaints. Except for mandated use in accrediting processes, this log record is confidential and will not be used in any individual personnel processes.

## 7. Academic Dishonesty

Faculty and instructional staff members are urged to assist students in their understanding of regulations regarding academic dishonesty and its significance to the values of an academic community. Faculty and instructional staff are advised to refer to the *Student Handbook* in order to have detailed familiarity with the policy as it is communicated to students.

### **Illinois Wesleyan University Statement on Plagiarism**

**What is plagiarism?** Plagiarism is the intentional or inadvertent misrepresentation as one's own, the words, ideas, research data, formulae or artistic creations of another individual or collective body, without giving credit to the originator(s) of those words, ideas, data, formulae or artistic creations.

Examples of plagiarism:

- Submitting in one's own name a term paper, report or document written by someone else or obtained from a commercial agency.
- A document that is only partially of one's own creation; combining original content with text, data or graphics taken from another source such as an encyclopedia, book, journal article or downloaded from the World-Wide-Web.

- Paraphrases of the ideas or words of others without proper acknowledgement.
- Original work based on the ideas of others without proper acknowledgment.

**Why one should not plagiarize:** The scholarly community recognizes that it is virtually impossible to write everything with such originality that one never employs the ideas and words of another. However, by providing proper citations to other works, a writer shows his or her ability to enter into dialogue with the scholarly community of a specific discipline, building upon what has already been said and adding his or her own voice. Plagiarism on the other hand is contrary to the ideals of scholarship. It is subversive to sound education and ethically dishonest.

**When to cite a source:** Cite a source whenever you use the

- Words (written or spoken)
- Ideas
- Research data
- Formulae
- or the Artistic creations (images, music) of another person or agency.

It is not necessary to cite common knowledge.

**What is common knowledge?** Common knowledge is anything that is considered known by the vast majority of the population – or may be found in generalized information sources, for example; Chicago is the largest city in Illinois, or  $E=mc^2$ .

**Avoiding plagiarism:** To aid in avoiding plagiarism, the scholarly community has developed techniques of documentation which allow a writer to use other peoples' words and ideas without seeming to expropriate them. Footnotes, endnotes, parenthetical textual notes and quotation marks are used by scholars to acknowledge the sources of ideas and words. Students at IWU are expected to learn how to quote and cite sources responsibly. There are numerous tools which can assist writers in meeting this requirement. Two of the most common are the APA Publication Manual published by the American Psychological Association and the MLA Handbook for Writers of Research Papers published by the Modern Language Association. Both are available from the IWU Writing Center and The Ames Library. Your instructor or a librarian will gladly assist you in applying these guidelines to the work you do in individual classes. Also, because what is considered the "correct" way of citing and quoting varies among disciplines, your instructors may specify which set of guidelines is to be followed for a specific class assignment.

**Consequences of plagiarism at IWU:** Because IWU takes very seriously the responsibility of ethical scholarship and writing, plagiarism can result in a failing grade for an assignment, a course, or in some cases, separation from the

University. It is the responsibility of instructors who discover instances of plagiarism to report these to the Associate Provost in writing. Only after such a report has been filed can an appropriate punitive response be determined. The instructor must also inform the student at the time that the report is filed. The Associate Provost is responsible for seeing that the appropriate penalty is recorded in all cases not requiring action of the Academic Appeals Board.

**Sources consulted:**

“Defining and Avoiding Plagiarism: The WPA Statement on Best Practices” Online posting. 22 October 2007 <http://wpacouncil.org/positions/plagiarism.html>

“Plagiarize” Webster’s Third New International Dictionary. Philip Babcock Gove, editor in chief. Springfield, Mass.: Merriam-Webster Inc., 2002

**Cheating**

The University defines cheating as giving or receiving information, or using material, in exams, assignments, and projects when it is not allowed. Some examples of cheating include copying from another person during an exam, using “cheat sheets” or other proscribed materials during an exam, collusion on take-home exams or other assignments where it has been expressly prohibited, and the submission of a laboratory report based on falsified data or any data not obtained by the student in the manner indicated by the instructor. Note that the person who knowingly provides illicit information is liable to the same punishment as the person who receives and uses it.

Because cheating is more commonly understood than the concept of plagiarism, it does not require as much explanation. This should not be interpreted as implying that cheating is a lesser offense than plagiarism. Both are extremely serious offenses. Both entail the same heavy penalties. Both can result in separation from the University.

**Enforcement**

It is the obligation of each faculty and instructional staff member to report cases of academic dishonesty to the Associate Provost in writing using the form available. Only after such a report has been filed can the appropriate penalty be determined, because offenses are cumulative. A faculty or instructional staff member who reports a case of academic dishonesty to the Associate Provost must inform the student involved at the time the report is made to the Associate Provost. After the offense has been reported to the Associate Provost, the Associate Provost will see that appropriate action is taken and so inform the faculty or instructional staff member, advisor, and student involved.

## 8. The Course Unit System

The University awards credit of two types: course unit credit which counts toward the minimum academic course requirement for a degree and non-degree credit in areas such as Physical Education. Non-degree credits are recorded on the student's transcript and may be required for graduation (as is the case with Physical Education activity courses), but non-degree credits do not affect the student's grade point average and do not count in the accumulation of the minimum course units required for a degree. The standard student load is a total of 8 course units in the Fall and Spring, and one optional course in May, with no strict limitation on the number of non-degree credit courses which may be taken in addition.

Conceptually the course unit system is designed to achieve the following objectives:

- Reduced fragmentation of the standard experience and synthesis of course material into larger, standardized units.
- Balanced distribution of work for both students and faculty or instructional staff members over the academic year.
- Flexibility in instructional design, recognizing that credit cannot be equitably measured solely on the basis of time spent in class contact.

While the University's schedule of class periods is set up to provide for three hours of meeting time per week for each course, instructors may design courses which involve more or less direct contact in conjunction with other teaching/learning activities such as laboratories, individual conferences, and library research. The instruction plan for a particular course should take into account course objectives, abilities and motivation of students, nature of subject matter, and size of class, all within the framework of reasonable but challenging demands upon students' time and abilities. As examples of the types of flexibility available in the system, basic courses in Foreign Language are designed to meet five hours per week, a science class might require both classes and lab sessions totaling as much as seven hours per week, and a course in the humanities or social sciences might involve regular class meetings most of the time but suspend these in favor of individual conferences during one or more weeks of the term.

Ideally, all courses will make approximately the same total demands upon a student's time, with ten to twelve hours per week per course as a rule of thumb, considering a four-course load standard in the regular semester. This ideal is an approximation for a hypothetical "average" student. Actual time spent on any given course will inevitably vary greatly among students. For transfer purposes, each course unit is equated to four semester hours, starting in the 1995-96 academic year.

## 9. Student Travel

The following procedure must be followed by faculty, instructional staff, and coaches responsible for student groups participating in travel sponsored by the University. For trips which conflict with students' classes, students should be advised they will not be excused from class work automatically and must have the permission of their other faculty or instructional staff members.

One week in advance of all trips a written notice including the following information must be filed with the Associate Provost: • Name of group • Nature of trip • Times and dates of departure and return • A list of the students involved. For trips involving overnight absence from campus a list of the participating students must be sent to the Dean of Students.

### *Field Trip Accident Insurance*

The University carries accident insurance for accidental death or dismemberment for all travel accidents occurring in connection with University-sponsored and supervised activities. This insurance covers all students and all faculty members who are members of activity groups, including athletic teams, music and theatre groups, and classes on field trips.

In order for participants to be covered, the trip must be to a point or points located outside the City of Bloomington, except for student nurses receiving practical experience. Coverage begins at the time the individual leaves the campus or place of residence and continues until the individual returns to one or the other. Time during which individuals are participating in interscholastic sports are specifically excluded from coverage. It is not necessary to give advance notification to the University Business Office; coverage is automatic.

## 10. May Term Travel Courses

Faculty and instructional staff members directing travel courses are responsible for the administration of the educational aspects of the travel experience. They have the same responsibilities that they have for a course offered on campus, but they are not agents of discipline or control except to the extent that the actions of the individuals participating relate to the educational aspects of the course, or to the safety of the individual or group.

Travel and other arrangements made in connection with travel courses are provided solely as an accommodation for members of the University who choose to participate. Neither Illinois Wesleyan, nor its officers, faculty or employees shall accept responsibility or liability in connection with such arrangements or for accidents on a trip. All participants and their parents or their legal guardians must execute a release to this effect as a condition of participation.

All travel courses carry the prerequisite of consent of the faculty or instructional staff member. The signature of the faculty or instructional staff member is required on applications for participation in travel courses.

Courses which are to be offered as travel courses but have not previously been offered as travel courses must have new or revised course descriptions reviewed by Curriculum Council.

Faculty or instructional staff members wishing to offer a May Term travel course should contact the Associate Dean for Curriculum and Instruction to learn more about the responsibilities and prerequisites of leading travel courses.

## C. Academic Advising Responsibilities

### 1. Introduction

Illinois Wesleyan University recognizes the importance of academic advising as a critical aspect of the undergraduate educational experience for students. Faculty members are responsible for the academic advising of students. Academic advising is a continual and reflective process whereby faculty advisors provide developmental academic support and guidance for students throughout their college career. Academic advisors help students learn responsibility and accountability for their academic progress and success while building a mutual respect and mentoring relationship. Further, academic advisors utilize reflective advising to assist students in developing an educational plan consistent with their values, personal goals, and professional aspirations and expose students to potential academic and co-curricular opportunities.

### 2. Rising Titan Advising

The vitality of our institution is maintained by our incoming students, and their start at IWU is critical to their success and satisfaction. The summer (for fall semester admits) or January (for spring semester admits) prior to matriculation, incoming students will attend a one-day Rising Titan Orientation where they will meet with an advisor, register for their first semester of IWU classes, meet student leaders, and start learning about what it means to transition, thrive, and transform at IWU.

- Generalist faculty advisors (from all departments) will be recruited to meet with incoming first-year students during Rising Titan; when/if possible, students will be paired with a generalist advisor whose area of expertise is related to the student's interests.
- Department Chairs and School Directors are responsible for the academic advising of transfer students entering their programs; this will typically begin at Rising Titan Orientation (Transfer Edition). Chairs and Directors may call

upon other faculty members in their academic unit to assist them.

### 3. Advising Assignments and Process

If a student enters IWU without a declared major, they will be assigned to a faculty advisor who is dedicated to helping them discover their interests and talents. Students who do not have a declared major after their first year may stay with their assigned advisor or may choose to be assigned to the Director of Academic Advising who will further assist with the major exploration process. When an undeclared student declares their major, a departmental advisor is assigned at that time.

If a student enters IWU having declared their intent to pursue a specific major, they are assigned to an advisor who is a faculty member in their declared major department(s), or to a dedicated first-year advisor (outside of the department) who volunteers to advise for the declared major department(s). Students assigned to a dedicated first-year advisor (outside of the department) will be assigned to a faculty member in their declared major department(s) beginning in their second year of study. Once they are assigned to an advisor in their declared major department(s), a faculty member in the declared major department(s) will continue to advise them through graduation.

In consultation with the Office of Academic Advising and the Office of the Registrar, Department Chairs and School Directors are responsible for appointing faculty advisors to the declared majors in their fields. Tenure-line and visiting faculty members in the first year of their appointment are not normally appointed to be advisors.

Faculty appointed to be advisors for incoming students are required to meet with their advisees during Turning Titan: Fall Orientation. Further, advisors must minimally meet with their assigned advisees at least once each semester before registration to review the student's progress, discuss course selection, and provide the student with the PIN needed to access the registration system. Designated advising periods are scheduled each semester, and can be found on the university calendar. During these advising periods, advisors are responsible for considering students' proposed schedules and for assisting students in making choices that are consistent with their goals and degree requirements. Faculty advisors are also encouraged to reach out to their advisees throughout the semester to engage in reflective advising conversations (e.g. to explore co-curricular learning opportunities, to discuss long-range plans, and to address academic challenges that may arise).



Faculty are not to post student PINs publicly. PINs can only be shared with students after a formal advising appointment has been held between the faculty advisor and the student.

#### 4. Reflective Advising

Through the utilization of reflective advising faculty: actively collaborate with students to reflect upon, develop, and implement cohesive and holistic educational plans as they pursue their academic, professional, and personal goals; establish engaged partnerships with students based on shared responsibility; guide students to campus resources that will assist them in achieving their goals; and foster an understanding and deep appreciation of the purpose and value of the liberal arts in higher education.

Faculty members are encouraged to use reflective advising principles not only in their role as formal academic advisors, but also when they mentor students in other capacities (e.g. research projects, supervising student employees). For a full definition of reflective advising and additional resources, please refer to the Reflective Advising Packet found here:

<https://www.iwu.edu/advising/faculty/ra.packet.pdf>

#### 5. Confidentiality

The University adheres to the conditions of the Family Educational Rights and Privacy Act of 1974, as amended (sometimes referred to as 'FERPA,' or the 'Buckley Amendment').

FERPA laws have been instituted to ensure the accuracy, integrity, and confidentiality of educational records concerning students that are maintained by colleges and universities. Public release of information without a student's written consent is limited to directory information.

Faculty should not post student grades by name in public view. Easily defeated codes such as telephone numbers, student ID numbers, or social security numbers also violate disclosure prohibitions.

Students may provide written consent to a disclosure that otherwise would be prohibited. Official written consent can be made by a student signing a FERPA waiver in the Registrar's Office. Additional information about FERPA, including a list of directory information and information about students' rights, may be found at <https://www.iwu.edu/student-affairs/FERPA.html>.

## 6. Students Planning to Leave the University

Faculty members, especially faculty advisors, who become aware that specific students are considering leaving the University permanently or for a leave of absence are requested to communicate the students' names and related information about the student to the Dean of Students Office.

Exit interviews are conducted with all departing students, and where appropriate, students are referred to the proper campus resources for possible assistance. Students who are leaving the university temporarily (e.g. medical leave, suspension, financial hold) and who plan to study on another campus while they are away, should have any coursework pre-evaluated and pre-approved for transfer back to IWU using the Transfer of Credit Request Form.

## D. Other Faculty Responsibilities

### 1. Outside Employment

Faculty with full-time appointments are expected to notify the Provost if any additional employment obligations (including self-employment) are assumed. Faculty members should also consult the AAUP Statement on Professional Ethics (Chapter VI) for further guidance.

### 2. Participation in Faculty or University Events

At Illinois Wesleyan University faculty participation in a range of activities is encouraged. Faculty participation in special events, such as Homecoming and Family Days, and participation in the following events is expected:

- General Faculty Meeting
- Commencement
- Convocations
- Faculty Open House

#### a. *General Faculty Meeting*

A meeting of the full faculty occurs monthly during the regular academic year, occurring typically on the first Monday of the month at 4:00 p.m. See the *Faculty Constitution* (Chapter II) and *General Faculty Meeting Procedures* (Chapter III) for further details. The Chair of CUPP prepares the agenda for the faculty meeting in consultation with the President and the Provost. The CUPP Chair may recommend deviation from the standard order to facilitate faculty votes or lengthy discussions. The Associate Provost, Associate Deans, chairs of elected councils and committees, chairs of appointed committees

and task forces, and members of the faculty may submit items to appear on the agenda. The agenda and other relevant documents will be distributed to the faculty at least two business days in advance of any General or Special Faculty Meeting.

***b. Commencement***

The annual Commencement exercises are institutional functions and as such require the participation of the faculty as the ranking members of the academic community. These ceremonies are the culmination of a student's career at Illinois Wesleyan and are, consequently, extremely important symbolic events for students and their families. All continuing faculty members ought, therefore, to participate fully in this celebration. Any faculty member who is not able to attend Commencement exercises should request permission to be absent from the Provost.

Caps and gowns for these ceremonies are provided through the office of the IWU Bookstore to faculty members who do not own their own academic regalia.

***c. Convocations***

There are three regularly scheduled all-University Convocations during the year: the President's Convocation in September, the Convocation honoring the Founders in February, and the Honors Convocation in April. These events are official University functions, and faculty members should attend.

When the convocation programs involve the conferring of an honorary degree, faculty may be asked to march in a traditional procession with full academic regalia. The President provides the faculty with adequate advance notice of these occasions and caps and gowns may be ordered through the President's Office. The University pays the rental fees.

Classes scheduled for the hour at which a convocation begins are canceled. When a convocation is scheduled so that it conflicts with only a part of a class period, faculty members have the option of holding or not holding a class during the remainder of that period. Faculty members are requested to encourage student attendance at convocations.

***d. Faculty Open House***

In the Fall and Spring terms of each year, Faculty Open House programs are arranged by the Dean of Admissions. At these times prospective students are invited to the campus to learn about academic programs. Various members of the faculty may be asked to meet prospective students and their parents

and to welcome these campus visitors into their classes. It is very important to the University that potential students receive an accurate impression of Illinois Wesleyan and its faculty, and the cooperation of all faculty members in this effort is urged. Past experience has demonstrated the value of faculty contact in the student recruiting process.

## **E. Leaves, Professional Travel, and Grant Opportunities**

### **1. Leave Programs**

The University's interest is best served by providing opportunities for all members of its faculty to continue to grow as inspiring and effective teachers and scholars. One such opportunity is a sabbatical program that allows for tenured faculty members to take periodic leaves so that they may engage in professional activities that would not otherwise be available, including such activities as advanced study, research, writing, painting and composing, but not excluding other intellectual activity. Thus, subject to the conditions and procedures described below and in the [Faculty Development Handbook](#), the University encourages each member of the tenured faculty to apply for regular sabbatical leaves.

The University also supports a non-competitive one-semester leave program for pre-tenure faculty. This program is designed to provide a concentrated opportunity for professional development for faculty in the period prior to tenure consideration. All pre-tenure faculty with satisfactory progress toward tenure will have the opportunity to receive one pre-tenure faculty leave before tenure.

Finally, the University grants leaves without pay under a variety of personal and professional circumstances.

Following are brief descriptions of the policies governing each type of leave. Please consult the [Faculty Development Handbook](#) for detailed information on the application process for leaves.

#### ***a. Sabbatical Leave***

Faculty members employed on a full-time, tenured basis may apply for a sabbatical leave for as much as one full academic year, to be taken after at least six years of full-time service, and similarly each seventh year thereafter. Approval of a sabbatical leave involves a two-stage process. First, faculty members eligible for a sabbatical leave should consult with their department heads/supervisors well in advance of the time at which they would apply for leave. If the faculty member decides to defer a sabbatical leave, they must

file a notification of deferral form. The deferral notification form should be sent by the faculty member requesting deferral to his/her immediate supervisor by April 1 (or the first weekday thereafter), approximately 16 months before the beginning of the academic year when the leave is scheduled to commence. Second, if not deferring the leave, by November 1 of the academic year preceding the planned leave, the faculty member must submit a completed sabbatical application, which will receive a careful critical review by the Faculty Development Committee (FDC). The Provost will receive the results of FDC's review and will confer with the President before making recommendations to the Board of Trustees at its February meeting. Applicants will be notified of the decision soon after the February meeting of the Board, and should make acceptance, in writing, within thirty days of notification. Any faculty member whose request for leave is denied will be notified of the reasons for that decision in writing.

The on-going concern to preserve the quality of course offerings and simultaneously maintain a commitment to regular leaves requires careful planning by Department Chairs and School Directors and their respective faculty members. Within a given year, timing and provision for replacement are subject to administrative review in consultation with Department Chairs or School Directors. This may involve increasing or decreasing requested replacements or shifting the semester in which some leaves will be taken, where such a shift would not impair the attainment of the objective of the leave.

All faculty members electing to take a *one-semester* sabbatical leave will receive full salary and benefits without reduction, just as if they were teaching full-time. Faculty members electing a *full-year* leave will be paid half-salary. Benefits arrangements for full-year sabbaticals should be discussed with Human Resources.

The recipient of a sabbatical leave agrees to return to the University to teach for one academic year directly following the sabbatical leave. Faculty members who voluntarily terminate their service on the staff of the University prior to the end of the first academic year following the completion of the sabbatical will repay to the University a sum equal to 1/9th of their total compensation (i.e., annual salary and benefits) for each month remaining to be served during that academic year. Partial months shall be repaid on a prorated basis. In case of a medical disability following a sabbatical leave, the requirement to return compensation may be waived upon recommendation by the Provost with approval of the President.

Faculty may postpone a sabbatical for up to two years without altering the timeline for subsequent sabbaticals. Faculty on unpaid leave for all or part of

an academic year may not count that year toward the six needed for sabbatical eligibility.

For complete details on applying for a sabbatical leave, faculty members should consult the most recent [Faculty Development Handbook](#).

#### ***b. Pre-Tenure Faculty Leave***

Tenure-track faculty members at the rank of Assistant Professor become eligible to submit an application for a semester leave in the second full year of a regular, tenure-track appointment. The last year a faculty member is eligible to make an application for a pre-tenure leave is two years before tenure consideration. Full salary and benefits continue during the leave period.

Once a faculty member has received one leave under this program he/she is ineligible to apply for a second such leave. Award of a leave under this program does not change the projected date of tenure consideration established on initial appointment to the tenure-line faculty.

For complete details on applying for a pre-tenure faculty leave, faculty members should consult the most recent [Faculty Development Handbook](#).

#### ***c. Leave Without Pay***

A faculty member may apply for a leave of absence without pay, generally after having completed at least three years of full-time service. Such leave might be for personal reasons or for purposes of accepting a visiting lectureship, research, study, or for other kinds of work performed with or without compensation.

Application for a leave without pay should be made directly to the Provost, who will consult with the Department Chair or School Director and the President before acting on the request. Leaves of absence normally do not receive credit in determining eligibility for tenure and sabbaticals.

## **2. Professional Travel**

The University offers support during the academic year for faculty travel related to professional development (attendance at conventions and conferences of learned and professional societies). The total amount, as well as maximum amounts for automobile travel, lodging, and meals, for which a faculty member may be reimbursed in a given year is limited as determined by the Provost in consultation with the Associate Dean for Scholarly and Creative Work and the

Faculty Development Committee. A standard limit is announced at the beginning of each year. Professional travel expenses not reimbursed by the University may be claimed as professional expenses for tax purposes.

In addition to an annual travel allowance for professional development, limited funds are available for faculty travel to designated regional or national conferences or workshops dealing with educational issues related to teaching or curriculum. Applications for support endorsed by the applicant's immediate supervisor should be submitted to the Associate Dean for Scholarly and Creative Work. The applicant's request should include descriptive information about the conference, how attendance will benefit the faculty member and Illinois Wesleyan, plans to share the information with colleagues, and should mention any past support to attend similar conferences.

All professional travel and travel schedules during the academic year (whether funded by the University or not) must have prior approval by the immediate supervisor and the Associate Dean for Scholarly and Creative Work. To be eligible for travel reimbursement, a faculty member must *in all cases* have the Associate Dean for Scholarly and Creative Work's prior approval of the travel and travel schedule before making a trip. In cases where travel is not cleared with the Associate Dean in advance, reimbursement may take place only if a surplus remains in the travel budget at the end of the academic year. Forms for requesting approval of travel and advances are available from the Department Chair/School Director or from the Associate Dean for Scholarly and Creative Work's office.

See the [Faculty Development Handbook](#) for details on applying for travel funds, obtaining advances, and claiming expenses.

The Provost also administers funds for travel related to assigned instructional and administrative duties associated with pursuit of institutional rather than individual interests. Guidelines for reimbursement of expenses in this category are the same as those for professional travel. Meal expenses will not be reimbursed in cases of regularly scheduled travel involving instructional duties such as internship or clinical supervision.

### 3. Grant Opportunities

Illinois Wesleyan University has several grant programs for funding faculty work related to scholarship or other creative endeavors and curriculum and collection development. Under all programs, the Faculty Development Committee is closely involved in the selection of grant recipients from among applicants. All eligible faculty are encouraged to apply. For complete details on these programs, see the [Faculty Development Handbook](#).

Illinois Wesleyan University also strongly encourages faculty and staff to develop and submit proposals for grants from foundations and corporations for academic programs or other purposes of the University. Many times, such proposals involve requests for funds that require matching from University resources. Such proposals require special consideration, because of the commitment being made in submitting them. Faculty and staff should in all cases consult with the Director of Sponsored Programs and Foundation Relations for assistance in developing proposals. When matching funds are required, that office should be involved well in advance of the deadline, so that adequate consultation with the Provost will be possible.

Faculty may buy out a course with monies provided by an external grant as long as the following conditions are met: the faculty member must obtain approval for the release, in a timely fashion, by the faculty member's chair/director and the Provost; the position is easily filled by adjuncts; the faculty member is limited to a maximum of one course release per year; and the released course must be bought at a rate of 1/6th of a faculty member's annual salary.

## **F. Other Faculty Resources and Related Policies**

### **1. University Library Services**

All faculty are encouraged to use The Ames Library in conjunction with their instructional and scholarly/artistic activities. Library faculty are prepared to provide information literacy instruction sessions for any class and to assist individual students and faculty with any aspect of library research or copyright clearance. The Library maintains a strong selection of online and print resources that meet the demands of our curriculum. Through IWU's membership in the Consortium of Research and Academic Libraries of Illinois (CARLI), as well as the Center for Research Libraries (CRL) faculty, staff, and students have additional access to a full range of print and electronic materials suitable for undergraduate education and research.

Faculty members are also urged to participate in the selection of library materials for collection development. The University has a collection development policy, available by request to the University Librarian. Submission of specific requests for books, media, and periodicals should be done through the library faculty liaison assigned to a department, program or school. Suggestions for Special Collections materials are also welcome, and the University Archives purchases major published faculty works and accepts deposits of unpublished works. The library can assist faculty with setting up Selected Works pages, a component of our online repository Digital Commons @ IWU that can be personalized for each



faculty member.

The Ames Library is also home to the Writing Center | Tutoring Services, the Center for Engaged Learning, the Action Research Center, the Thorpe Center for Curricular and Faculty Development, and Information Technology Services.

The Thorpe Center offers several services for faculty. Room 301b in the Thorpe Center on the third floor of the library is available for use by faculty who would like to experiment with technology or meet with students during the hours the library is open. Faculty can also check out equipment from the Thorpe Center, including laptops, projectors, digital cameras and more. If faculty bring in their own laptop to use in the library, staff or students can assist in setting up access to the campus wireless network. The Thorpe Center Collection, comprised of items related to teaching and learning, faculty governance, and higher education, is located in the Thorpe Center as well, and items are available for checkout at the Circulation Desk on the entry level.

Please see the Ames Library website for details on library services, policies, and resources or contact your library faculty liaison for a tour of the library and to learn more about its services.

## 2. Faculty Offices and Office Equipment

*Offices:* Faculty office assignments are made initially through the Associate Provost. Any request for changes in assignment or physical alteration of an office should be addressed to the Associate Provost.

*Office Equipment:* The University provides a computer and selected software for each full-time faculty member; details are worked out through the Associate Provost's Office and Information Technology Services at the time of initial appointment. Start-up funding for equipment or highly specialized software necessitated by a faculty member's assigned responsibilities (e.g., laboratory instruments, musical instruments, and so forth) is negotiated with the Provost at the time of appointment. After the initial appointment, any faculty member may request equipment or software through his/her Department Chair or School Director as part of the annual budget cycle. Requests for computers, software, and AV equipment should be directed to Information Technology Services. Requests for other permanent equipment should be directed to the Associate Provost.

### 3. Instructional Facilities/Resources

*Classrooms and Classroom Equipment:* The use of most rooms in academic buildings is coordinated by the Registrar who assigns locations for regularly scheduled classes. Requests for temporary or permanent changes in room assignments should be directed to the Registrar's Office. Reservations for use of academic rooms outside of regular course use are made through the 25Live scheduling software.

Most classrooms and meeting rooms are furnished with a computer and AV system. . To request the use of portable audio/visual equipment or laptop computers and related peripherals, faculty members should contact the Ames Library.

*Bookstore:* The University Bookstore prompts faculty to order books for every course listed each term. Faculty members are encouraged to complete book requests in a timely fashion and to also notify the bookstore if no texts/materials are required. Faculty members who need a desk copy of a text should order it directly from the publisher by contacting a sales representative or completing a request using the publisher's website.

*Printing:* The Titan Print and Mail office is available for use by faculty, staff, and campus organizations. Work-related printing is billed to a department, organization, or office budget code. Personal printing related to IWU activities will be accepted from faculty, staff, students, campus organizations, and off-campus educationally related or non-profit organizations. A cash or check payment is required for this type of work.

*Meeting Rooms:* Most room reservations on campus are scheduled on-line using 25Live. For a user log-in, password, and training on this software, please contact Administrative Specialist, Courtney Turnbull x3555, or email [cturnbul@iwu.edu](mailto:cturnbul@iwu.edu). The 25Live Website can be accessed in [My IWU](#) by clicking on the "Faculty & Staff Essentials" widget and selecting "Reserve Campus Spaces" from the drop down menu on the MyIWU portal home page.

### 4. Policy on Permanent Equipment

Permanent equipment for academic use should be requested by department heads and school/program directors. Requests for computers, software, and AV equipment should be submitted to ITS by email to [ITS@iwu.edu](mailto:ITS@iwu.edu) or by using Service Desk Plus. Requests for other types of permanent equipment should be made electronically using a link provided to Chairs and Directors by the Associate Provost's Office. Requests are generally submitted by May 1 to be considered for the following fiscal year, but requests can be submitted at any time in response to newly emerging needs such as equipment failures.

Requests for computer and information technology equipment are reviewed by the Associate Provost in consultation with the Director of Academic Technology. All university purchases of information technology equipment are made through Information Technology Services. Supported software and recommended hardware configurations can be found on the Office of Information Technology intranet site.

Most equipment funds are approved early in the fiscal year, often before fall classes begin. A small contingency fund is maintained through the year, however, to handle emergency maintenance or replacement of equipment that breaks down.

Departments may use their operating budgets for small equipment items. The following policy should be consulted in deciding whether to submit a request for an item as permanent equipment or to purchase it out of the departmental supply and expense budget.

- a. The permanent equipment budget should be used for all items costing \$250 or more, but should not be used for single items priced under \$100. In the range of \$100-\$500 department administrators can make discretionary judgments as to whether to use supply and expense funds or to request permanent equipment funds.
- b. Items requested as permanent equipment should have an identifiable, durable life of at least three years. Items that are expendable or consumable should be purchased with department supply and expense funds rather than requested as permanent equipment.

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## A. AAUP Statement on Professional Ethics

*The Statement which follows, a revision of a statement originally adopted in 1966, was approved by the Association's Committee B on Professional Ethics, adopted by the Association's Council in June 1987, and endorsed by the Seventy-third Annual Meeting.*

### Introduction

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy statements, providing guidance to professors in such matters as their utterances as citizens, the exercise of their responsibilities to students and colleagues, and their conduct when resigning from an institution or when undertaking sponsored research. The *Statement on Professional Ethics* that follows sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession.

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to ensure the integrity of members engaged in private practice. In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the general secretary and Committee B, to counsel with members of the academic community concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action, the procedures should be in accordance with the 1940 *Statement of Principles of Academic Freedom and Tenure*, the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*, or the applicable provisions of the Association's *Recommended Institutional Regulations on Academic Freedom and Tenure*.

### The Statement

- I. Professors, 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 professors 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 professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

- II. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
- III. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
- IV. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
- V. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

## B. Policy Statements on Research

### 1. INSTITUTIONAL REVIEW BOARD: AUTHORITY, COMPOSITION, LEVELS, AND REVIEW PROCEDURES

#### **Authority of the IRB**

The IRB is responsible for reviewing and monitoring research involving human subjects conducted by faculty, students, and investigators seeking access to students, staff and/or faculty under the auspices of the University. It has the authority to prohibit research that does not meet the standards of ethical research practices. It also has the authority to suspend or terminate approval of research that is not being conducted according to these standards.

All research which involves human subjects must be reviewed by the IRB. Approval is necessary prior to initiation of the project. Continuing research projects are subject to annual review. The IRB may monitor research at intervals appropriate to the degree of risk to study subjects.

The IRB has the authority to take one of four actions. Research may be approved, approved conditionally, disapproved, or be granted exempt status. In order for research to be approved it must meet the standards of ethical research practices.

The IRB shall notify investigators in writing of actions taken regarding proposed research and maintain full records in the Office of the Associate Provost regarding its activities. If approval is conditional, the investigators must respond to the conditions set forth by the IRB prior to conducting the study. If the IRB disapproves a research project, it must include reasons for its decision in its written notification. Investigators may address these reasons and resubmit the proposed research project for further consideration.

The IRB may request information on any aspect of a proposed study. As part of the review process, the IRB may request supplementary information, demonstration of the procedures to be used and/or regular progress reports. The IRB has the authority to observe or to have a third party observe any aspect of the research project, including methods used to obtain consent from study subjects. It may also seek the advice of consultants. Any unforeseen complications or adverse reactions to approved research must be immediately reported to the IRB.

#### **Composition of the IRB**

The Institutional Review Board shall consist of at least seven members. The Associate Provost will recommend appointees to the Nominating Committee and appointments will be approved by the President. Members of the IRB will include individuals who have expertise in diverse aspects of human subject research:



They shall be able to ascertain the acceptability of proposed research in terms of institutional commitments and regulations, applicable laws, and standards of professional conduct and practice. In particular, the following requirements shall be met: 1) The IRB may not consist entirely of members from one academic discipline or profession. It must include both men and women. 2) At least one member of the IRB shall be a person whose primary expertise or concerns are in a scientific area and one in a nonscientific area. 3) At least one member of the IRB shall be a person who is not affiliated with the institution or who is not part of the immediate family of a person who is affiliated with the institution. 4) The IRB may invite individuals with special competence in a research area to aid in the review process. 5) Members of the IRB are prohibited from participating in the review of research proposals if there is any conflict of interest.

### **Levels of IRB Review**

There are three levels of review: Exempt, Expedited, and Full.

Note: **Research** means a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. Activities which meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### ***a. Categories of Research Qualifying for Exempt Status***

Exemption from the requirement for IRB approval is granted when it is determined that the project does not constitute research as defined by *Federal Policy for the Protection of Human Subjects* and the IWU Institutional Review Board or if the research meets one of six specific exemption categories.

Note that the IWU IRB has made the following interpretations of its charge:

The ultimate decision of whether an activity is or is not research rests with the IRB. Any activities that might conceivably be construed as research require IRB approval as “exempt”. This process is designed to be as streamlined as possible and applicants should submit the form requesting approval of the research as “exempt” by filing a hard copy of this application in the office of the Associate Provost and an e-mail copy to the IRB.

IWU considers that both qualitative and quantitative methodologies may constitute research. Thus, attempts to obtain information using such methodologies as focus groups, interviews, participant observation, etc. require approval.

Research-like activities that are conducted solely by members of a class are typically not defined as research, although instructors need to ensure that these activities do not violate the rights of participants. Activities in which class members collect data from members of the larger IWU community or from persons in the community constitute research and are subject to the review of the IRB.

**Research that meets one of the following six specific categories can fall under the exempt category.**

Most educational research, test design research, anonymous surveys and interviews, observations of public behavior, and many kinds of program evaluation will qualify for exempt status. Research activities in which the only involvement of human subjects will be in one or more of the following categories may be considered to present minimal or no risk to research subjects and may qualify for exempt status. The categories are:

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.
- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (b)(2) of this section, if: (i) the human subjects are elected or appointed public officials or candidates for public office; or (ii) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the

information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

- (5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (i) Public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.
- (6) Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

#### ***b. Categories of Research Qualifying for Expedited Review***

The IRB may use an Expedited Review Process to review research that involves only minimal risk to subjects or consists of minor changes to previously approved research during the period (one year or less) for which approval is authorized. Minimal risk is defined as activities in which the probability and magnitude of harm or discomfort anticipated in the research is no greater than that ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

#### ***c. Full Review***

Research that does not qualify for Exempt or Expedited Review will fall under the category of Full Review.

### **Review Procedures**

The IRB shall meet at least bimonthly during the academic year and may meet as often as necessary. At least one member whose primary concerns are in a scientific area and one member whose primary concerns are in a nonscientific area must be present. Individuals invited to contribute to the review process do

not have a vote. Proposed research must be approved by a majority of those members present. Disapproval may not be overruled by any other University group or official.

Reviews of exempt protocols and reviews of extensions and/or minor changes to previously approved studies may be carried out by the IRB chair or by one or more experienced reviewers designated by the IRB chair from among members of the IRB. Expedited proposals will be reviewed by two IRB members. In reviewing the research, the reviewers may exercise all the authority of the IRB except that the reviewers may not disapprove of the proposed study. All members of the IRB will be advised of research proposals which have been approved under either of these review procedures.

The IRB shall make a report of its proceedings to the Office of the Associate Provost which will also serve to maintain these records as appropriate.

## **2. POLICIES REGARDING USE OF HUMAN SUBJECTS IN RESEARCH AT ILLINOIS WESLEYAN UNIVERSITY**

### **Overview**

While Illinois Wesleyan University recognizes the need for and value of research involving human subjects, it also recognizes its responsibility for ensuring that the privacy, safety, health, and welfare of human study subjects are adequately protected. All research involving human subjects conducted under the auspices of Illinois Wesleyan University is expected to meet general standards of ethical research practices established by Federal Regulations (FR Doc 91-14257) and the standards of specific professional organizations (i.e., the American Psychological Association, American Nurses Association, American Sociological Association and the World Health Organization.)

An Institutional Review Board (IRB) has been appointed to ensure that the basic rights and welfare of human subjects are safeguarded, that methods used to obtain consent from research subjects are appropriate, and that any risks to study subjects are acceptable and are always minimized. Risks exist when subjects may be exposed to possible physical, psychological or other harm.

All research involving human subjects conducted under the auspices of Illinois Wesleyan University must be reviewed by the IRB. Approval is necessary prior to the initiation of any such project. Continuing research projects must be renewed annually.

Information for investigators regarding research guidelines, criteria of approval and appropriate procedures for review of proposed research is described in Information for Investigators Using Human Subjects. Faculty supervising student research as part of course work are directed to the section identified as Student Research, which will be found under Information for Investigators Using Human

Subjects, Information describing the functioning of the IRB is described in Institutional Review Board Authority, Composition and review Procedures.

### **Information For Investigators Using Human Subjects**

All research involving human subjects conducted under the auspices of Illinois Wesleyan University must be reviewed by the IRB. This includes research projects initiated by students, faculty or staff at IWU. It also includes projects conducted by investigators not affiliated with the institution which use Wesleyan students, faculty or staff in virtue of their affiliation with the University. The IRB is also responsible for reviewing research involving human subjects that is conducted by IWU faculty, staff, or students at other locations. IWU IRB review is required even if an IRB review is completed at these other sites. Approval from the IRB is necessary prior to initiation of any research. Continuing research projects are subject to review on an annual basis. The IRB will monitor research projects at intervals appropriate to the degree of risk to study subjects.

The IRB has the authority to take one of four actions in regard to research involving human subjects. The research may be deemed exempt, approved, approved conditionally, or disapproved. During review, the IRB may also request additional information regarding the proposed research. When conditional approval is granted, the specified conditions must be met and approved by the IRB before the investigator initiates the project. If the IRB disapproves a research project, it must include in its written notification the reasons for its decision. Investigators may address these reasons and resubmit the proposed research project for further consideration.

#### ***a. Standards of Ethical Research Practice***

In order for research to be approved or to be exempted, it must meet the following standards of ethical research practice:

- (1) The rights of the subject must always take precedence over the interests of society, the interests of the investigators or the value of the research. Research which violates the rights of study subjects will be prohibited. These rights include the following:
  - a. Subjects have the right to informed and voluntary consent or dissent. Informed consent must be appropriately documented. (Standards for Informed Consent are discussed in the following section.)
    - i. Information provided to gain subject consent must be adequate and relevant. All information which would reasonably be needed in order to make an informed decision must be provided in a manner that is understandable to the subject before consent is obtained. This includes being informed about any foreseeable risks.

- ii. Participation of a human subject in any research project must be voluntary. Study subjects have the right to decide whether or not to participate in the research without coercion, undue influence, or duress. When some or all of the subjects are likely to be vulnerable to coercion or undue influence (i.e., students, children, pregnant women, mentally disabled persons, or economically or educationally disadvantaged persons), additional safeguards must be included in the study to protect the rights and welfare of these subjects.
  - iii. Study subjects have the right to decide not to participate in research or to withdraw from participation at any time without adversely affecting the relationship between the subject, the investigators, and the University. In those cases where participation in a research project is intended to provide an educational experience, potential participants must be informed that they are not obliged to participate and that appropriate alternatives to participation will be provided.
- b. Subjects have the right to privacy and confidentiality. Appropriate safeguards must be provided to protect the privacy of subjects and to maintain the confidentiality of data gathered.
  - c. Subjects have the right to ask questions about the research at any time before, during and after participation in the research. These questions must be answered in an adequate and satisfactory manner.
  - d. Subjects have the right to be treated with dignity and respect at all times.
- (2) Research involving human subjects must be preceded by careful assessment of predictable risks to the subjects or others. Standard and scientifically recognized methods for assessing risks must be employed. Risk exists when subjects may be exposed to any possible physical, psychological, or other harm. Risks may result from procedures which cause discomfort or anxiety to study subjects or invade their privacy or pose threats to their dignity. Risks to human subjects must always be minimized (a) by using procedures consistent with sound research design and (b) whenever appropriate, by using accepted procedures already performed on subjects for diagnostic, treatment or other purposes.
- (3) Research projects involving human subjects must be conducted or supervised by qualified persons.
- (4) Selection of study subjects must be equitable.

### ***b. Informed Consent***

Informed consent must be obtained in most studies that involve human subjects. Investigators should consult the *Federal Policy for the Protection of Human Subjects*, which is available in the Office of the Associate Provost, for the specific rules involving informed consent and the circumstances under which specific rules apply. Any explanation, whether in written or oral format, must be given in the language of the subject by a person competent in the area of the proposed research.

For each study, the principal investigator must submit a specific informed consent form. If only verbal consent will be obtained, a script of the oral explanation of the study must be submitted, along with a justification for not using a written form.

In most cases, consent forms should be written in the first person, and must include the following:

- (1) A title, descriptive of the study, in simple terms.
- (2) The date of preparation or revision.
- (3) A statement that the project is research, an explanation of the purpose of the study, and the procedures to be followed.
- (4) Statement of the reason for the subject's selection, and the expected duration of the subject's participation.
- (5) A description of the potential benefits to the subject or others which may reasonably be expected.
- (6) A description of the reasonably foreseeable immediate and long-term discomforts, hazards, and risks and their potential consequences.
- (7) A statement that the investigator is available to answer any inquiries concerning the study, and information on who the principal investigator is and how to reach him/her.
- (8) Information regarding persons to contact in the event that any injuries or adverse consequences emerge from the research.
- (9) A statement that the research is voluntary and that refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled. Information regarding persons to contact in the event that any injuries or adverse consequences emerge from the research
- (10) A statement that the subject may refuse to participate or withdraw from the study at any time without any negative consequences.
- (11) A statement that no information that identifies the subject will be released without separate consent except as specifically required by law. A statement outlining the extent to which records will be confidential. A statement

- (12) A statement that if the use of the data is to be changed, the subject's consent will be re-obtained.
- (13) The name and telephone number of an IRB member to be contacted if participants have concerns about the ethical conduct of the study.
- (14) A signature and date line.

Special Circumstances Involving Informed Consent: Include in the consent form any of the following information that may be applicable:

- (1) If recordings are to be made, state this, and inform the subjects about the use of the recordings and what will happen to the recordings after the study.

Note that we will likely have separate informed consent protocols for filming and recording.

- (2) If the subject is a legal minor, a parent or guardian must sign the informed consent form. Suitably mature children should be provided with the opportunity to assent to participate in research. Depending upon the competency of the child, this may be administered either verbally or in written form. If the subject cannot sign, through disability or illiteracy, but is otherwise capable of being informed and giving verbal consent, a third party (not connected with the study), next of kin, or guardian shall witness the process, sign for the subject, and state the reason. When appropriate, detail the consequences of a subject's decision to withdraw from the research.

### *c. Initiating the Review Process*

Investigators are required to submit Research Proposal Information (available in the Associate Provost's Office and on-line at <http://www.iwu.edu/irb/>). Some research which represents minimal risk to study subjects may qualify for exempt status. Note that exempt status is an outcome of the IRB review process. The investigator must review the information listed under Categories of Research Qualifying for Exempt Status to determine whether the proposed research may be placed in this category. Research presenting minimal risk to subjects may be submitted under the category of "Expedited Review."

To initiate the review process, investigators should submit one hard copy of all documents to the Office of the Associate Provost and one electronic copy to [irb@iwu.edu](mailto:irb@iwu.edu). The schedule of IRB meetings will be available in the office of the Associate Provost and on-line at <http://www.iwu.edu/irb/>.

Investigators should have materials requiring full review available at least two weeks prior to the next meeting date. Applications requesting expedited and exempt review can be submitted at any time. The IRB has the final authority to decide whether the research is appropriately considered under a review



category other than the one selected by the applicant. To ensure the fastest turn-around time under that scenario, investigators seeking expedited review may wish to submit their materials two weeks prior to the next IRB meeting as well.

Investigators who wish to make any changes to a previously approved study must submit these proposed changes in writing through the Office of the Associate Provost to the IRB. The reviewing committee may request additional information if necessary.

#### *d. Student Research*

To ensure that all student research complies with mandated requirements for the protection of human subjects, all research conducted by students that involve human subjects require IRB approval. The only exception is if students enrolled in the same class collect data from each other and results are presented only to members of that class.

Students may not submit protocols to the IRB; protocols can be submitted only by faculty or staff. While instructors might wish to provide students with the experience of writing IRB applications, instructors will need to review and modify these proposals prior to submission to the IRB to ensure that they fully address the requirements for human subjects research and that these are complete and well written. Instructors attest that student research meets the requirements of human subjects research and that they will oversee the students' efforts to ensure that they follow the protocol and respect the rights of research participants. Requiring faculty members to review and submit student research protocols will help IRB to perform its job more efficiently.

Most student projects can be grouped under one of the following categories.

##### (1) Group Protocol for a Class Project

In many instances, students work collectively on one research study. For example, students might construct surveys that they administer to students on campus, conduct ethnographic interviews with others on or off campus, conduct political opinion polls, or interview persons in various professions. It is possible for the instructor to submit a single protocol that provides a description of the parameters of the research activities provided that these research projects are low-risk, involve students in very similar research activities, and impact a similar sample of participants. The instructor is then responsible for monitoring the student research activities to ensure that all activities fall within the parameters of the approved group proposal and that the rights of the participants are respected. Note that if only slight variations in the research exist across different courses or across multiple courses, it is preferable for instructors to submit a single protocol that covers the range of activities across all of

these courses.

(2) Umbrella Protocol Covering Multiple Student Projects

In some classes, instructors might have students design and complete individual projects that share common features. In this case, it is recommended that instructors prepare an umbrella proposal that addresses either the entire class or a subset of these projects. The instructor might prepare a general description of the project and one or more informed consent templates. Then, students could attach descriptions of each of their individual projects detailing their sample, specific assessment methods, and possible risks and benefits. The IRB will review this umbrella proposal and provide feedback to the instructor regarding any projects that are problematic. Under such circumstances, it will be the instructor's responsibility to work with individual students to clarify or modify their individual projects. Instructors will then be responsible for supervising the activities of the students to ensure that they conduct their research within the parameters of the approved umbrella protocol and that the rights of the participants are respected.

(3) Individual student projects

In some cases, students complete individual projects that require a separate protocol to the IRB. This is specifically pertinent for thesis and independent study projects. In this case, instructors will need to submit an individual protocol to the IRB.

***e. Responsibilities of Investigators to the IRB***

Investigators must conduct the research within the parameters of their approved protocol.

- 1) Investigators may deviate from the approved project protocol only for the safety of the participant. The IRB must be notified as soon as possible and in writing of any deviation from the approved project protocol.
- 2) Investigators must notify the chairperson of the IRB as soon as possible and in writing of any adverse occurrence.
- 3) Investigators must supply an annual progress report to the IRB for projects extending beyond one year. However, the IRB may request additional progress reports and these must be supplied in a timely manner.
- 4) Investigators must submit a final overview of their research upon completion or termination of their projects. Projects which qualify for exempt status are not required to submit a final overview report.

Approved by the Faculty: December 1, 2008

### 3. POLICY FOR THE HUMANE CARE AND USE OF LABORATORY ANIMALS

The following document establishes procedures for the humane care and use of animals at Illinois Wesleyan University. The document is applicable to all research, research training, experimentation, and biological testing and related activities involving live, vertebrate animals conducted at this institution.

This document contains the following information:

**Section 1:** The Institutional Animal Care and Use Committee

A formal outline of the procedures followed by the Institutional Animal Care and Use Committee (IACUC).

**Section 2:** Program of Direct Animal Care

Standard operating procedures for direct animal care, including the duties and qualifications of animal colony personnel.

**Section 3:** Training of Personnel

A description of training available to personnel, as well as methods by which proper training is assured.

**Section 4:** Program of Veterinary Care

A description of the contract established between Illinois Wesleyan University and consulting veterinarians.

**Section 5:** Occupational Health:

A description of the occupational health program for those working with animals. This document has been reviewed and approved by the Institutional Animal Care and Use Committee.

***Section 1: The Institutional Animal Care and Use Committee (IACUC)***

- a. The institution will maintain an Institutional Animal Care and Use Committee (IACUC) in accordance with USDA and PHS guidelines, as well as other applicable laws. The committee is responsible for overseeing and regulating all use of live vertebrate animals at Illinois Wesleyan University.
- b. The committee and Chair will be appointed annually by the University President (Chief Executive Officer). By federal law, membership on the committee will be comprised of a minimum of five members: At least one scientist experienced in animal research, at least one non-scientist, the veterinarian with whom the institution has established a program of veterinary care, an individual from the community with no other official connection with the University, and a faculty Chair. The Chair may be a scientist or non-scientist. Care will be taken in appointments to ensure

that those individuals actively conducting animal research do not hold a majority of committee positions. No fewer than three faculty members should serve on the Institutional Animal Care and Use Committee.

- c. The Committee will elect a Vice Chair during the first meeting of each academic year. The Vice Chair will have a term of one year.

**Meetings:**

The IACUC will meet at least three times each year. These meetings will normally occur in September, January, and April. However, special circumstances may require additional meetings, in which case the regular meetings may be scheduled at alternate times. Under no circumstances will the IACUC meet less than 3 times per year, and under no circumstances will there be more than six months between meetings.

- a. Review the Program for the Humane Care and Use of Animals (the present document), using the procedures outlined in the National Research Council document *Guide for the Care and Use of Laboratory Animals*. The committee will draft a report of that review, and forward that report to the Associate Provost under the signatures of a majority of IACUC members. The report will be forwarded to the Associate Provost no more than two weeks after the meeting.
- b. The report will contain:
  1. A statement that the procedures contained in the present document have been reviewed. If any changes are recommended, the report will describe those changes.
  2. A statement of the nature and extent of adherence to the Animal Welfare Act, Standards, and Regulations, USDA policy, and PHS policy. If there has been a failure to adhere to policy since the previous report, the report will describe the measures being taken to correct the deficiency.
  3. A statement of any minority views. If no minority views were expressed, the report will so-state.
- c. Conduct an inspection of all animal facilities. The committee will draft a report of the inspection and forward that report to the Associate Provost under the signatures of a majority of IACUC members. The report will be forwarded to the Associate Provost no more than two weeks after the meeting takes place. The report will contain:
  1. A description of any deficiencies found during the inspection. The report will distinguish between significant deficiencies and minor deficiencies. Any significant deficiencies will be described in detail.
  2. If any deficiencies are noted, a plan for corrective action will be described, including dates by which these corrections are to be

accomplished.

3. A statement of any minority views. If no minority views were expressed, the report will so-state.
- d. Review and approve, or withhold approval for all new animal use protocols. The procedures for protocol review are described below.
- e. Review, at least once annually, all active animal use protocols.

If necessary, the IACUC will meet more often than described above. Such additional meetings will typically involve review of animal use protocols, but will not include an inspection of facilities or a review of the program.

Minutes of all IACUC meetings will be forwarded to the Associate Provost within two weeks of the meeting date. Minutes will also be distributed to all IACUC members at that time. Minutes will be approved by the Committee at the next IACUC meeting.

#### **Review of Animal Use Protocols:**

Every person planning to use live, vertebrate animals in teaching or research at Illinois Wesleyan University must submit an animal use protocol prior to beginning such activities. The animal use protocol must be submitted using the Information for Review of Activities.

Involving Animals Form (Appendix A). The form must be submitted to the IACUC chair at least 2 weeks before the investigator plans to begin the activities outlined in the protocol.

Upon receiving a completed protocol form, the IACUC Chair will review the submission to ensure that it is complete. If the investigator has not correctly and completely filled out the protocol form, the IACUC Chair will return the form to the investigator with instruction to complete the form properly.

If the protocol form has been correctly and completely filled out, the IACUC Chair will schedule the protocol for Committee review. The process used by the IACUC to review protocols is as follows:

- a. Full Committee Review: Protocols will normally be reviewed at a full Committee meeting. Following discussion of a protocol, the Committee will make one of two recommendations:

Approval: Approval signifies that the investigator may begin the project as soon as the start date on the proposal. The IACUC Chair will provide written notification to the principal investigator, informing him or her of approval.

Non-Approval: The protocol is returned to the investigator with instructions to modify and resubmit for future review. The IACUC Chair will describe, in writing, the reason the protocol was not

approved, and the changes necessary to secure approval. The investigator may not begin the project until the protocol has been resubmitted and approved.

Recommendations will be made on the basis of a simple majority vote of those members present at the committee meeting. This vote will be valid only if a quorum is present at the meeting. A quorum will exist if at least half of the committee members are in attendance. If any Committee member has a personal interest in the protocol (typically because that Committee member is an investigator on the protocol) then that member will leave the room during discussions of the protocol, and may not vote on that protocol.

Any minority viewpoints will be described in the meeting minutes. If there are no minority viewpoints, the minutes will so-state.

- b. **Decision by Designated Reviewer:** If a protocol received for review requires immediate action before the next full Committee meeting, the investigator may request (or the IACUC Chair may choose) a “designated reviewer” for the proposal. When a designated reviewer is used, the IACUC Chair (or his/her designee) will distribute copies of the protocol to all members of the Committee, with a request that comments and recommendations be received within 1 week.

Comments will be returned to the IACUC Chair or his/her designee. In cases in which the IACUC Chair has a personal interest in the protocol, the Vice Chair will conduct these duties.

After comments are received, the IACUC Chair, Vice Chair, or designee will read the comments of Committee members and make a decision to approve or not approve the protocol.

Note that this is not a Committee decision, and does not constitute a “vote by mail.” The decision to approve or not approve comes directly from the designated reviewer, and not from the Committee.

At any time during the “decision by designated reviewer” process a committee member may request that the protocol be discussed in a full committee meeting. In such cases, the chair of the IACUC (or Vice Chair) will inform the investigator that a full review is required, and when such a review is expected to take place.

A decision by a designated reviewer is not considered to be the standard method of approval. Any investigator requesting such a review must provide written justification for using the procedure. Poor planning is not considered sufficient justification.

Communication: The IACUC Chair, Vice Chair, or designee will communicate the Committee decision, in writing, to the principal investigator, including (in the case of non-approval) any changes

required to secure approval. The results of all designated reviews will be read into the minutes of the next full IACUC meeting.

**Non-Compliance:**

If, at any time, the IACUC becomes aware that an investigator is not complying with the procedures outlined in an approved protocol:

- a. The IACUC Chair will notify the investigator of the non-compliance, and instruct the investigator to cease all activities described in the protocol until compliance is accomplished. The investigator must demonstrate compliance to the satisfaction of the IACUC and must secure written notification from the IACUC Chair before resuming activities.
- b. All instances of non-compliance will be included in the report to the Associate Provost.
- c. The IACUC has the authority to suspend activities on a protocol when violations of that specific protocol are found. The IACUC does not have the authority to suspend activities on other protocols supervised by the same investigator.
- d. If an investigator is repeatedly found to be in non-compliance, or if the violations are particularly serious, the IACUC will conduct a detailed investigation. This investigation will include a meeting during which the investigator will answer questions for the committee. Following the meeting, the IACUC will forward a summary report to the Associate Provost. This report may include recommendations for penalties in addition to those which the IACUC is authorized to enact. Such recommended penalties may include, but are not limited to a) suspension of work on other protocols, b) restrictions on future research activities, and c) revocation (temporary or permanent) of all animal use privileges in both teaching and research. The final decision in such cases will lie with the Associate Provost.

***Section 2: Program of Direct Animal Care***

The University will maintain a program of animal care in all facilities in which live, vertebrate animals are housed. Details of the program are described below:

Administration: Immediate responsibility for the care and treatment of animals is given to the Animal Care Technician. Qualifications and duties for this position are described below. Administrative oversight of financial issues will be the responsibility of the Chair of Psychology Department. Administrative oversight for animal husbandry will be the responsibility of the IACUC Chair.

Qualifications of the Animal Care Technician: The Animal Care Technician must possess at least an Associates degree in Animal Science or related field. If the position of Animal Care Technician is vacant, a new technician will be hired on the recommendation of a committee appointed for this purpose by the Associate Provost. At least two IACUC members (including the IACUC Chair), as

well as the Chair of the Psychology Department, will serve on this committee.

**Duties:** The duties of the Animal Care Technician are described in Appendix B of this document. These duties may be modified at any time by the IACUC Chair without prior IACUC approval, as part of the Chair's supervisory duties. However, any significant changes in duties will be reported to the IACUC, and an amended list of duties will be attached to this document.

**Emergency Coverage:** It is necessary for all animals in the colony to be monitored on a daily basis. Normally, this duty falls to the Animal Care Technician. On occasion, the Animal Technician may be unable to perform this duty because of an emergency. In such a situation, the Technician must inform the IACUC Chair and/or the colony supervisor. The responsibility for monitoring the animals will be passed to one of the following individuals (in order of priority): 1) A student animal colony worker who has been trained to monitor animals, 2) A student teaching assistant for the Psychology 211 or 311 classes (assuming that the student has previously been trained to monitor animals), 3) The faculty member responsible for supervision of the animal colony (typically the IACUC Chair), 4) The IACUC Chair (if different from the colony supervisor), 5) Any member of the IACUC with experience in animal research.

### ***Section 3: Training of Personnel***

Federal regulations require that all personnel involved in the use of animals are properly trained in such use. Training will be available in the following areas, although personnel are only required to be trained in those areas directly related to their work:

- a. The basic needs of each species
- b. The proper handling and care of each species
- c. The proper pre-procedural and post-procedural care of the animals
- d. The proper aseptic surgical techniques (if required by protocol)
- e. The concept, availability, and use of research or testing methods that limit the use of animals or minimize animal distress
- f. The proper use of anesthetics, analgesics, and tranquilizers (if required by protocol)
- g. Methods whereby deficiencies in animal care and treatment are reported, including assurance that any individual reporting such a deficiency will not be discriminated against or subject to reprisal or any kind. Such deficiencies may be reported to any IACUC member, the Animal Care Technician, or the Associate Provost. Informational signs outlining this procedure will be posted in all areas in which animals are used.
- h. Utilization of information services to provide information on any or all of the training areas described above.



Illinois Wesleyan University will insure that proper training is received in the following ways:

- a. The Animal Care Technician will have at least an Associates degree in animal science or related field. When hiring, preference will be given to a licensed veterinary technician with experience working with the species housed on campus.

The following procedures are meant to ensure that the animal care technician is adequately trained, and that training is maintained over the term of employment:

1. The Animal Care Technician will attend, at University expense, one annual professional conference (for example, the annual American Association for Laboratory Animal Science (AALAS) conference) for purposes of continuing education.
  2. The Animal Care Technician is expected to consult with the consulting veterinarians concerning any issue for which the Technician feels improperly prepared. The Veterinary consultant will either provide the necessary training, or provide information by which the Technician can receive proper training.
  3. The IACUC Chair and the Psychology Department Chair will conduct an annual performance review of the Animal Care Technician. Any deficiencies in training will be noted in the review, and methods of remedying those deficiencies will be suggested. The IACUC Chair will monitor the performance of the Technician to ensure that these deficiencies are corrected in a timely fashion.
- b. Faculty submitting protocols to the IACUC for review must demonstrate, as part of the protocol, that they are sufficiently trained to use the procedures described in the protocol. If the faculty member is not presently trained in a procedure, the protocol must include a statement of how training will be received. The faculty member is also responsible for training any students involved in the project, and must describe such training in the protocol. Failure to address this issue is grounds for a decision of non-acceptance.

If it comes to the attention of the IACUC that an instructor, investigator or student working with animals is not properly trained to do so, the IACUC Chair will contact the principal investigator and request that proper training be obtained. The IACUC chair will report such training deficiencies to the full committee. If, in the opinion of the full IACUC committee, the training deficiencies comprise a violation of an approved animal use protocol, the IACUC will suspend work under that protocol until proper training has been demonstrated. If an apparent lack of training constitutes an immediate health risk to the animals, the consulting veterinarian may immediately suspend work on the protocol pending a full IACUC investigation.

- c. Students employed in the animal colony will be trained by the Animal Care Technician in the proper care and handling of the species in question. Students working with animals under the supervision of a faculty member will be trained by that faculty member, and it is the responsibility of that faculty member to insure adequate training has been received. Research protocols submitted to IACUC for student projects (or projects in which students will be involved in procedures) must describe how the students are to be trained in these procedures. Failure to address this issue is grounds for a decision of non-acceptance.

Students conducting surgery or other invasive procedures must be supervised at all times. Such supervision must be provided by the principal investigator or classroom instructor. During such procedures, the supervisor must be physically present in the room in which the surgery is being conducted.

- d. OLAR staff veterinarians will conduct twice yearly seminars for scientists, technicians, staff, students, and other personnel involved in animal care. Topics will be chosen in consultation with the Associate Provost and the IACUC Chair. Topics covered may include animal welfare issues, regulations, animal husbandry, anesthesia, euthanasia, sanitation and others.

#### ***Section 4: Program of Veterinary Care***

Federal law requires that the institution have an established program of veterinary care. A Program of Veterinary Care has been established between Illinois Wesleyan University and the Office of Laboratory Animal Resources (OLAR), University of Illinois at Urbana-Champaign. The attending veterinarian reports to the Associate Provost.

OLAR staff veterinarians conduct monthly clinical rounds through the IWU animal facility. They are available for consultation with IWU faculty and staff during site visits or by telephone during normal business hours. OLAR veterinarians are available to conduct twice yearly seminars, as requested by the IACUC chair, for IWU faculty, staff and students whose activities involve the use of live vertebrate animals. Topics covered may include animal welfare issues, regulations, animal husbandry, anesthesia, euthanasia, sanitation and others.

Sick, diseased or lame animals will be provided prompt veterinary care or will be humanely euthanized.

In addition to the above duties, the OLAR staff will consult with the IACUC chair and the Associate Provost to ensure that the university is in compliance with applicable federal regulations. The OLAR staff will inform the IACUC of any observed non-compliance with regulations, as well any changes in applicable regulations. In cases where non-compliance is observed, the OLAR staff will work directly with the IACUC to ensure that the university is brought back into compliance. This responsibility may include providing specific, detailed

instructions on how to restore compliance, as well as providing access to documents and information which will enable the university to restore compliance.

Additional details may be found on the USDA form Program for Veterinary Care for Research Facilities or Exhibitors/Dealers, a copy of which is on file in the office of the Associate Provost.

### ***Section 5: Occupational Health***

Federal regulations require that the University maintain a program of occupational health. This program must include an assessment of the risks to personnel related to their work with animals. Further, it is recognized that the level of risk may change periodically, so it is necessary to constantly re-assess occupational risk.

Three times a year, the IACUC will review the risks resulting from contact with animals for all University personnel and students. This review will be included in the regular reports to the Associate Provost described in section 1 of this document. When necessary, the IACUC will consult with the University OSHA official, the Associate Vice President for Human Resources, and representatives of the Department of Occupational Health (or related department) at Illinois State University and the University of Illinois.

At present, only rats and hamsters are housed at Illinois Wesleyan University. There are no exotic species housed on campus, nor is there any expectation that exotic species will be added in the near future. As a result, it is the opinion of the IACUC that work with animals presents relatively little health risk to personnel. At present, three levels of risk are recognized:

**Low to Moderate Risk:** The Animal Care Technician is currently the only University employee working full-time in the care and use of animals. The Technician must receive an annual physical examination which specifically screens for animal-related illnesses and conditions. The technician will receive this examination at University expense. The Technician must have a recent tetanus vaccination.

**Low Risk:** This category includes all persons employed by the University to work in the animal colony on a part-time basis, as well as faculty and students using invasive procedures, procedures resulting in pain to the animal, or procedures requiring prolonged restraint for the animal. These individuals must have a recent tetanus vaccination. It is the responsibility of the Animal Care Technician to ensure that all employees have received the proper vaccinations within a reasonable time period following the start of employment.

**Very Low Risk:** Students and faculty using non-invasive techniques which do not include pain or prolonged restraint techniques fall into this category. These persons are not required to have any special vaccinations or health screening over and above those normally required by the University. If these individuals are

bitten by an animal, they will be advised to report to Arnold Health Services. If the individual does not have a recent tetanus vaccination, they will receive one.

**Allergies:** Students working with animals may occasionally develop allergies to the animals with which they are working. In some cases, this may interfere with the student's ability to complete required coursework. Under such circumstances, it is recommended that faculty follow the guidelines below:

- a. The student must provide a written letter from a physician confirming that the student suffers from allergies, and that the allergies represent a health problem for that student.
- b. Under the direction of the physician, the student will be asked to complete the normal course requirements while using special protective devices (gloves, masks, protective clothing) or allergy medication.
- c. If, in the opinion of the physician, medication and protective devices are inadequate, the instructor should provide an equivalent assignment of similar difficulty.

The above guidelines are recommendations. The IACUC is not authorized to require faculty to adhere to these guidelines. Adopted July 1st, 1997; last amended May 7th, 1999. Updated, Summer 2010.

## C. Faculty Salary Policy Statements

### 1. Determination of faculty salaries.

The "acceptable gap" salary equity system is essentially a testing mechanism **applied to all continuing faculty salaries every year**. Acceptable gaps for associate and full professor are based on a comparison to rank averages at several points – when someone enters the rank and when he/she has been in rank for 5 years and 10 years:

- when someone is promoted to associate, his/her salary is adjusted to be no more than \$10,000 below the rank average (the median is used in all these tests);
- after 5 years in rank, to be no more than \$5,000 below average;
- after 10 years, to equal the rank average.

Similarly, if someone is promoted to full professor:

- the gap should be no more than \$13,000;
- after 5 years, no more than \$7,000;
- after 10 years, at the rank average.

## 2. Annual (standard) raises

Annual raises should combine fixed dollar amounts with percentage raises. The provost should seek CUPP's advice annually on how much of the salary pool increase should go towards fixed dollar amount raises and how much should go towards percentage raises.

## 3. Adjunct raises

Adjunct salaries should be increased by the same percentage increase of the standard raises that are given to all tenure-track faculty.

## 4. Starting salaries

"While we understand that the university has to balance the competing demands of market pressures and equity, the university ought not pay a beginning assistant professor a starting salary that exceeds either the median salary for full professors or two times the average starting salary in non-market disciplines. Paying starting salaries that exceed either of these two points shifts the balance too far towards the market pressure side. In setting a starting salary, the university ought not create inversion within or across ranks within a discipline/department." Adopted at the April 18, 2011, faculty meeting.

## 5. Promotion raises

Promotion raises are \$3,600 for both ranks.

## D. AAUP Statement on Academic Freedom and Artistic Expression

*The statement that follows was adopted by the participants in the 1990 Wolf Trap Conference on Academic Freedom and Artistic Expression, sponsored by the American Association of University Professors, the American Council on Education, the Association of Governing Boards of Universities and Colleges, and the Wolf Trap Foundation. The statement was endorsed by the AAUP's Committee A on Academic Freedom and Tenure and by its Council at their meetings in June 1990.*

Attempts to curtail artistic presentations at academic institutions on grounds that the works are offensive to some members of the campus community and of the general public occur with disturbing frequency. Those who support restrictions argue that works presented to the public rather than in the classroom or in other entirely intramural settings should conform to their view of the prevailing community standard rather than to standards of academic freedom. We believe that, "essential as freedom is for the relation and judgment of facts, it is even more indispensable to the imagination."<sup>1</sup> In our judgment academic freedom in the

creation and presentation of works in the visual and the performing arts, by ensuring greater opportunity for imaginative exploration and expression, best serves the public and the academy.

The following proposed policies are designed to assist academic institutions to respond to the issues that may arise from the presentation of artistic works to the public and to do so in a manner that preserves academic freedom:

1. *Academic Freedom in Artistic Expression.* Faculty members and students engaged in the creation and presentation of works of the visual and the performing arts are as much engaged in pursuing the mission of the college or university as are those who write, teach, and study in other academic disciplines. Works of the visual and the performing arts are important both in their own right and because they can enhance our understanding of social institutions and the human condition. Artistic expression in the classroom, the studio, and the workshop therefore merits the same assurance of academic freedom that is accorded to other scholarly and teaching activities. Since faculty and student artistic presentations to the public are integral to their teaching, learning, and scholarship, these presentations merit no less protection. Educational and artistic criteria should be used by all who participate in the selection and presentation of artistic works. Reasonable content-neutral regulation of the “time, place, and manner” of presentations should be developed and maintained. Academic institutions are obliged to ensure that regulations and procedures do not impair freedom of expression or discourage creativity by subjecting artistic work to tests of propriety or ideology.
2. *Accountability.* Artistic performances and exhibitions in academic institutions encourage artistic creativity, expression, learning, and appreciation. The institutions do not thereby endorse the specific artistic presentations, nor do the presentations necessarily represent the institution. This principle of institutional neutrality does not relieve institutions of general responsibility for maintaining professional and educational standards, but it does mean that institutions are not responsible for the views or the attitudes expressed in specific artistic works any more than they would be for the content of other instruction, scholarly publication, or invited speeches. Correspondingly, those who present artistic work should not represent themselves or their work as speaking for the institution and should otherwise fulfill their educational and professional responsibilities.
3. *The Audience.* When academic institutions offer exhibitions or performances to the public, they should ensure that the rights of the presenters and of the audience are not impaired by a “heckler’s veto” from those who may be offended by the presentation. Academic institutions should ensure that those who choose to view an exhibition or attend a performance may do so without interference. Mere presentation in a public place does not create a “captive audience.” Institutions may reasonably designate specific places as generally

available or unavailable for exhibitions or performances.

4. *Public Funding.* Public funding for artistic presentations and for academic institutions does not diminish (and indeed may heighten) the responsibility of the university community to ensure academic freedom and of the public to respect the integrity of academic institutions. Government imposition on artistic expression of a test of propriety, ideology, or religion is an act of censorship which impermissibly denies the academic freedom to explore, to teach, and to learn.

**Note**

1. Helen C. White, "Our Most Urgent Professional Task," AAUP Bulletin 45 (March 1959): 282

***Adopted for Inclusion in Faculty Handbook – November 7, 2011***

## E. Intellectual Property Policy

### 1. Introduction

Illinois Wesleyan University (the “University”) is dedicated to teaching and scholarship and the creation and distribution of new ideas, information, inventions, and creative work. Members of the University therefore often create intellectual property. The purpose of this policy is to establish a clear understanding of roles, responsibilities, and actions on the part of faculty, administration, and external parties as well as principles for the fair allocation of ownership of such intellectual property and any revenues derived from the commercialization of said intellectual property in compliance with applicable laws and agreements, and to establish guidelines for the protection and enforcement of the University’s intellectual property rights and those of its individual affiliates, as well as procedures for the resolution of relevant disputes.

This policy applies to all University employees, students, independent contractors, and anyone else using University facilities and resources under the supervision of, or with the permission of University personnel. It is primarily concerned with original works and inventions created by covered individuals acting alone or with collaborators, whether all collaborators are members of the University community or not.

### 2. Definitions

Within this intellectual property policy, the following terms are defined as follows:

“University facilities and resources” means funds, workspace, equipment, supplies, library collections, release time, and administrative and technical support owned or provided by Illinois Wesleyan University.

“Covered individual” means any employee, independent contractor, student, or anyone else using University facilities and resources for work or study under the supervision, or with the permission, of Illinois Wesleyan University personnel, including, without limitation, volunteers.

“Employee” means all faculty, staff, and any students who are employed by the University.

“Instructional Materials” are documents in a variety of formats created for the purpose of teaching and learning.

“Invention” means any new process, product, device or substance any improvement thereto. Notwithstanding its status as a literary work under the Copyright Act, computer software may in some instances also be regarded as an invention.



“Net revenues” means all revenues attributable to the exploitation of a work or invention (*i.e.*, gross revenues) less any deductions or overhead expenses agreed in writing between or among the applicable parties.

“Standard and customary resources” are those resources commonly provided or made available to similarly situated faculty. They include, for example, support such as curricular development and research grants, office space, library facilities, research assistance, ordinary access to University computers and network facilities, research assistants, administrative support staff, and general supplies. In general, for any given department, unit, or individual, what constitutes a standard and customary resource will depend upon the functions and responsibilities of that department, unit, or individual.

“Work of original authorship” means any literary, musical, dramatic, choreographic, artistic, audiovisual, or architectural work that owes its creation to the independent effort of an artist or author.

“Work made for hire” as it relates to copyrightable works of original authorship shall mean either (i) a work prepared by an Illinois Wesleyan University employee within the scope of his or her employment or (ii) a work specially commissioned by Illinois Wesleyan University under the terms of a written agreement.

### 3. Copyrights

- a. Works by Faculty. Under current U.S. Copyright law, any work completed by an employee may be considered a work for hire for which the copyright belongs to the employer; however, the University, in its commitment to the support of research, artistic creativity, and scholarship, considers work completed by faculty to belong to those faculty under normal support in which the University has no identity or functional interest. If necessary, the University will transfer its rights in writing to clarify ownership to third parties.

The University recognizes and reaffirms the traditional academic expectation that all instructors at IWU, including faculty as defined in Chapter II, Article III, Section 2 of the Faculty Handbook, instructional staff, and those in adjunct positions, own and control instructional materials for both in-person and online courses and programs. Protected materials include, but are not limited to: slide decks/slide sets, quizzes, tests, videos, lectures, lecture notes, syllabi, grading rubrics, handouts, activities, exercises, writing prompts, assignment descriptions, learning objects, laboratory manuals/guides, faculty-authored textbooks (unpublished), creative works, and unpublished research results created by their own initiative with the aid of standard and customary University resources as defined above. (Fordham University, adapted with permission)

Further, faculty have endorsed the following statement: “As components of faculty-designed online courses, they cannot be revised, edited, supplemented, or incorporated into courses taught by others without the consent of the original creator. Nor can an online course as a whole be assigned to another instructor without the consent of the faculty member who created the course, unless, once again, the faculty member agreed to treat the course as a work made for hire with such ownership rights residing in the institution.” (AAUP Statement on Intellectual Property, 2013)

Some materials (e.g., syllabi) may be collected for specific purposes, including but not limited to external review, internal assessment, or pedagogy workshop. However, this does not imply permission for others to adapt those materials.

If a course is team-taught, the participating instructors will share copyright equally if materials were collaboratively created; otherwise, instructors own their own materials.

If an instructor is selected to or elects to participate in consortial learning programs, those programs may require separate intellectual property agreements than what is outlined in this policy.

If a faculty member cannot complete teaching the class (i.e., due to sickness, leave of absence, death, suspension, termination), the University may allow another instructor to use the course materials (without requiring further permission of the instructor holding the copyright to the course materials) for the limited purpose of finishing out the semester.

Instructors should include a statement about copyright ownership of course materials in their course syllabi. The statement should state that instructors hold copyright in the course materials they create and, as a result, students are not allowed to reproduce, distribute, or publicly post their course materials without express permission of the instructor. To ensure lectures are protected by copyright, instructors should either record them or deliver them from written notes.

A suggested syllabus statement:

"My lectures and course materials, including presentations, tests, exams, outlines, and similar materials, are protected by copyright. I am the exclusive owner of copyright in those materials I create. I encourage you to take notes and make copies of course materials for your own educational use. However, you may not, nor may you knowingly allow others to reproduce or distribute lecture notes and course materials publicly without my express written consent. This includes providing materials to commercial course material

suppliers such as CourseHero, Chegg, and other similar services. Students who publicly distribute or display or help others publicly distribute or display copies or modified copies of an instructor's course materials may be in violation of the "University Policies Concerning Student Conduct & Academic Integrity" in the Student Handbook. Similarly, you own copyright in your original papers and exam essays. If I am interested in posting your answers or papers on the course web site, I will request your written permission."

Instructors may also want to include a copyright notice on the course materials themselves to emphasize that they are protected. The form of the notice should contain the word copyright or the © symbol, the year the materials were created (multiple years may be listed when new material is added in different years), and the name of the instructor. The instructor may want to add notations to the notice such as "All rights reserved" or "Authorization is given to students enrolled in the course to reproduce this material exclusively for their own personal use." Note: Copyright protection is not contingent on including a copyright notice on your course materials. The materials are protected as soon as they are created. However, including a notice reminds students of instructor ownership and copyrights and of students' obligations to respect those rights. (Syllabi policy courtesy of Office of Legal Affairs, University of North Carolina - Charlotte. Used with permission.) Nothing in this Intellectual Property Policy shall prohibit a student enrolled in a particular course from copying, using or reproducing course materials, in any medium, exclusively for their own personal educational use.

Students requiring accommodations (e.g., recording lectures, etc.) must provide documentation from the Director of Academic Advising and Student Accessibility Services.

In cases wherein the University commissions original work that falls outside of the scope of the faculty member's employment, a written memorandum of agreement will be made enumerating the distribution of intellectual property resulting from that work. The University may require that such an agreement be signed prior to commissioning the work.

When a faculty member intentionally collaborates with other covered individuals, including students, or someone outside the University community, each author owns a fractional interest in the copyright in the entire work. Under normal circumstances, this interest would be distributed equally, unless all parties formally agree to an alternate apportionment of interest. Each may enter into nonexclusive licensing agreements respecting the joint work, provided he or she submits an accounting of revenues earned to each coauthor.

When joint authorship with a student or an individual who is not a member of the University community is contemplated, this intellectual property policy requires a written acknowledgment of the collaboration signed by each participant as a condition of the collaboration.

- b. **Works by Staff.** In keeping with the work-made-for-hire doctrine of U.S. copyright law, the University is regarded as the author and owner of copyright in all works of original authorship created by staff, including administrators with faculty status when acting in their administrative (non-teaching) roles.
- c. **Works by Students.** Students are presumed to own the copyrights in their individual works of original authorship except when such works are the product of a student's University employment. In that event, the work-made-for-hire rules apply. In all other cases, students are subject to the same policies as those assigned to faculty above.
- d. **Works by Independent Contractors and Others.** When the University commissions original works from independent contractors, volunteers, or visitors, the authors are considered the owners of that work unless copyright is specifically assigned to the University by written agreement.

#### 4. Registration of Copyrights

The University has the right, but is not obliged, to register its copyrights in its own name in the U.S. Copyright Office. The author or authors of original works of which the University is not the owner may elect to register for applicable copyrights in the U.S. Copyright Office or to create their own copyright license through the development of a Creative Commons license ([www.creativecommons.org](http://www.creativecommons.org)).

#### 5. Exceptional Circumstances

Under certain exceptional circumstances, the University may claim copyright in works of original authorship created by faculty and/or students that are not within the work-made-for-hire doctrine. These include, but are not limited to:

- a. Original work funded by third-party grants awarded to, or administered by the University on behalf of the grantee. When a third-party funding agreement stipulates that the University will be the owner of any resulting intellectual property rights, the affected author will execute a written assignment of his or her intellectual property rights in the work to the University as a condition for the release of funds or other resources. Likewise, the University will honor the intellectual property policies of third-party funders for projects so funded, when those policies differ from those of the University.

- b. Occasionally the creation of original work by faculty and/or students requires an extraordinary allocation of University facilities and/or resources. This refers to institutional support beyond the scope of normal practice. As a condition of extraordinary support for a project, the faculty and/or students may be required to assign in writing all or a portion of the Intellectual Property of said project to the University.
- c. The University understands that adjunct and visiting faculty may be subject to conflicting intellectual property policies that restrict the University's claims of ownership in their works of original authorship. Such conflicts will be considered on a case-by-case basis by the Provost.

## **6. Permitted Uses of Works of Original Authorship by the University**

The University is the owner of all rights, title and interest, including, without limitation, copyright, in all works made for hire and may exercise all of the exclusive rights granted to such owners by the Copyright Act. In addition, the University is the owner of those rights assigned to it and may exercise all such rights without seeking permission of the authors. The University may make any use of any works of original authorship pursuant to any of the exemptions set forth in the Copyright Act.

## **7. Patents**

Whereas copyrights are available for authorship, patents are available for inventions, processes, and ideas. Individuals working alone or in collaboration qualify as inventors; organizations cannot. Therefore, the principle of a work made-for-hire does not exist in patent law.

## **8. Inventions**

The University encourages its faculty and staff to engage in the types of innovative activity that could lead to inventions and respects the ownership rights that arise from such activity. Therefore, other than in exceptional circumstances (discussed below), the University does not seek to challenge those rights and regards each invention as the property of the covered individual(s) who can be properly regarded as inventors. Each covered individual acknowledges, however, that when an invention has been developed using University facilities and resources, the University typically obtains what is known as a "shop right," which provides the University with limited, nonexclusive rights to use the invention. The University shall not exercise any shop right, however, before (a) the filing of a patent application by the inventor or his or her attorney or agent, or (b), receipt of written confirmation from the inventor that patent protection will not be sought.

So that patent rights are not inadvertently forfeited, inventors who are members of the University community and their collaborators, if any, must refrain from commercializing and publishing inventions without, first, disclosing the invention in confidentiality to the

Provost; and second, obtaining counsel from a patent attorney or agent who is registered with the United States Patent and Trademark Office (the “PTO”). If the invention is owned by one or more covered individuals and not by the University, then the covered individual(s) can decide whether to seek patent protection. The cost of seeking such protection will be borne by each inventor.

Confidential disclosure of all inventions conceived by University employees is required under this policy. The Provost will provide confidential disclosure forms for this purpose.

**9. Exceptional Circumstances**

- a. If funding agreements stipulate that the University will be the owner of any intellectual property rights relating to inventions conceived and reduced to practice by employees, each inventor shall irrevocably assign his or her rights in the funded invention to the University as a condition for the release of funds or other resources. Likewise, the University will honor the intellectual property policies of third-party funders for projects so funded, when those policies differ from those of the University.
- b. As a condition of extraordinary support for a project, the faculty and/or students may be required to assign in writing all or a portion of the Intellectual Property of said project to the University.
- c. Upon occasion, when the University has been assigned ownership of the intellectual property in a patentable project, the University may require the inventor to execute additional instruments as the University deems necessary for the filing or prosecution by the University of any and all patent applications directed to the funded invention through to a final action on each such application by the PTO. The University retains sole discretion whether to seek patent protection, and shall be solely responsible for the costs of doing so. In accordance with U.S. patent law, any issued U.S. patent covering a funded invention shall name the original inventor(s) despite patent ownership by the University.

**10. Distribution of Revenues**

In the absence of any other agreement, Illinois Wesleyan University will share the net revenues it receives from an invention owned by or assigned to the University with the employee(s) who developed the property. The formula is:

Net Revenue for Entire Invention	Employee(s)	Grants Office Budget	Academic Affairs Budget	President’s Discretionary Budget
First \$20,000	100%	0	0	0

\$20,001- \$75,000	50%	10%	20%	20%
Over \$75,000	50%	10%	20%	20%

### 11. Trademarks and Service Marks

The University may claim ownership of certain registered or unregistered trademarks and service marks. Such marks are for the exclusive use of the University in connection with goods and services, among others, identified in federal and state registrations and pending federal applications. It is a violation of this policy for any member of the University community to make use of such marks without the express authorization of the Vice President for Communications.

### 12. Allegations of Infringement

In the event that members of the University community or others claim that an original work owned by the University by assignment infringes a third-party's rights, or that a third party is infringing the University's rights in a work or invention, any parties with an interest in the matter must notify the Provost so that appropriate action can be initiated.

The University has the right, but is not obliged, to take legal action to protect its intellectual property rights. In the event that the University takes such action, all damages, costs, or other amounts recovered shall be the sole property of the University.

### 13. Resolution of Disputes

The President, or the Provost, if so delegated, has the authority to administer and enforce this policy.

If a dispute arises between a covered individual and the University, between two or more covered individuals or between a covered individual and a collaborator who is not a member of the University community, such dispute will be referred to the Provost.

***This Policy borrows extensively from the Intellectual Property Policy of Meredith University and is used with its kind permission. [permission pending 29 August 2010]***

## **F. University-Wide Policies That Include Faculty**

In addition to the faculty-specific policies outlined above (A-E), the Employee Handbook has policies affecting faculty as well as exempt and non-exempt staff, and these policies are listed below. Policy specifics for these items can be found on the IWU website (<https://www.iwu.edu/human-resources/intra/policies.html>).

1. Policy Statements Concerning Information Technology
  - a. Information Technology Usage Policy
  - b. IWU Web Policy Statement
2. Philosophical Statement Regarding the Consumption of Alcohol
3. Policy Statement Concerning Alcohol and Drug Abuse
4. The Abused and Neglected Child Reporting Act
5. Sexual Misconduct Policy
6. Required Inclusivity Training
7. Reporting a Bias Incident
8. Whistleblower Policy



## **Chapter VII: Faculty Benefits**

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This chapter contains a brief overview of the benefits currently available to eligible faculty. Please refer to the summary plan descriptions and other governing plan documents for details.

Over the years the University has made numerous changes in the benefits offered to faculty, and continues to reserve the right to change or terminate existing benefit programs, and to add new benefit programs, at any time. Except as provided by the terms of a specific plan, benefits do not become vested after a certain period of time, the attainment of a particular age, or the happening of a specific event. Therefore, the terms of a plan may be changed or terminated at any time for all individuals participating in that plan or any subgroup thereof.

### **A. Childbearing and Childrearing Policy and Faculty Leaves**

It is the policy of the University that a full-time faculty member with one year of University service may choose one of the following options for childbearing and/or childrearing:

#### **1. Childbearing leave for female faculty.**

Six to eight weeks childbearing leave using short term disability (thirty days full pay followed by two to four weeks at 70% pay) when a full-time teaching load is maintained for the academic year. Disability length is determined by medical necessity.

#### **2. Combined childbearing/childrearing leave for female faculty.**

(a) Combined childbearing/childrearing leave for nine- or ten-month faculty.

(i) A combined childbearing/childrearing leave of one semester and a three-course teaching load for the remainder of the academic year at two-thirds annual salary or (ii) a combined childbearing/childrearing leave of one semester and a four-course teaching load for the remainder of the academic year at five-sixths annual salary. Note that a faculty member may teach at most three courses in a semester. Hence, this option would require three courses in fall or spring semester plus one course in May Term. When both parents are faculty members, they are entitled to a combined total of either three course releases and a one-sixth reduction in each parent's salary or two course releases and a one-twelfth reduction in each parent's salary. (iii) A third option is for the faculty member to take a single course release at full pay. As an alternative teaching a 2-3 load, this can instead be arranged as four courses in one semester and a May Term with a semester of no teaching (at full pay).

(b) Combined childbearing/childrearing leave for twelve-month faculty.

A combined childbearing/childrearing leave of one semester or four months during the summer (May, June, July, and August). Pay for the year will be at five-sixths annual salary.

### 3. Childrearing leave for all faculty.

Faculty members who are parents of children newly placed for adoption or male faculty members with newborns may request a paid childrearing leave of absence for childrearing purposes. The terms of the childrearing leave are the same as those described above for the combined childbearing/childrearing leave.

Health care benefits, life insurance, short term disability, and long-term disability insurance will be continued during the childbearing, combined childbearing/childrearing, or childrearing leave at University expense. The faculty member will continue to be responsible for his/her own premium share of the health insurance. TIAA-CREF payments will be continued based on the amount of salary paid to the faculty member as specified in the summary plan description.

Multiple births/adoptions count as one event.

Faculty members taking semester length (or longer) leaves of absence normally do not receive credit in determining eligibility for tenure, promotion, and sabbaticals. A nine-month faculty member who gives birth after the end of classes in May and whose disability ends prior to the start of classes in late August is not eligible for a childbearing leave. In this case, with reasonable notice, she may choose to apply for a childrearing leave. Any male faculty member whose child arrives after the end of classes in May and prior to the start of classes in late August, with reasonable notice, may also apply for a childrearing leave.

Faculty also has the option to request a leave under the Family and Medical Leave Act (FMLA). Eligibility requirements and other guidelines can be found in Chapter VII.B "Faculty Benefits" of the *Faculty Handbook*. FMLA does not affect any Federal or State law prohibiting discrimination, or supersede any State or local law or collective bargaining agreement which provides greater family or medical leave rights. Any faculty member anticipating the need for a family or medical leave should consult with the Provost.

The faculty member should discuss the delivery date of the baby or arrival date of the adopted child and the timing of the leave of absence with the Provost to determine the option that works best. The Provost will consider special circumstances.

Requests for childbearing leaves, combined childbearing/childrearing leaves, or

childrearing leaves of absence should be made directly to the Provost, who will consult with the Department Chair or School Director and the President before acting on the request.

### **B. University-Wide Benefits that Include Faculty**

In addition to the faculty-specific child-bearing and child-rearing benefit outlined above, the Employee Handbook has policies affecting faculty as well as exempt and non-exempt staff, and these policies are listed below. Policy specifics for these items can be found on the IWU website

(<https://www.iwu.edu/human-resources/current-employees.html>).

1. Credit Union
2. Dental Insurance
3. Employee Assistance Program
4. Flex Account
5. Health Insurance
6. Health Savings Account
7. Life and Disability Insurance
8. Retiree Health
9. Retirement
10. Travel
11. Vision Insurance
12. Wellness Program

## Appendix: Update Log, 2020 version to 2023 version

### General Updates

- Move to Google Docs for master copy
- Update to Smart Table of Contents with links to each section
- Converted to more accessible font: Calibri

### Chapter I: (updated via the approval of the Provost and the President)

- B.1: Update to titles in the President's Cabinet members
- B.1: Removed paragraph on strategic planning from President's job description
  - Updated Organizational Structure charts
- B.2-8: Updated titles, removal of obsolete positions. New job descriptions for VP for Advancement; VP for Diversity, Equity, and Inclusion; VP for Enrollment and Marketing; VP of Student Affairs and Dean of Students; Chief Information Officer
- C.1: Updated titles for Associate Deans
- C.2: Updated titles, removal of duties related to the banking system and signature work
- C.3: New job descriptions for the Associate Dean for Curriculum and Instruction and the Associate Dean for Creative and Scholarly Work
- C.4: Updates to titles, list of Interdisciplinary Programs (C.4.b), removal of obsolete positions, addition of the Director of the Petrick Idea Center
- C.7: New language on review of the Associate Deans
- D: Updated titles throughout
- D.3: New description for the Faculty Athletic Representative
- D.4: New description of the IT Governance Committee
- D.5: New description of the Retention Committee
- D.8.b: New membership on the University Committee on Diversity
- D.5 (old version): removal of the Strategic Planning and Budgeting Committee
- D.6 (old version): CETAL removed from the administrative committees to be added to the faculty committees.
- D.7-8: Removal of the Technology Fellow and University Technology Forum

### Chapter II: (updated via a constitutional amendment)

- Addition of Instructional Staff throughout (dates passed: Nov. 20, 2019; Sept. 22, 2021)
- Update of the titles of Associate Deans where appropriate (date passed: Feb. 9, 2022)

- Update of General Education to Shared Curriculum where appropriate (date passed: Nov. 3, 2021)
- D.Section 3: CUPP
  - 3.a: updated titles of Schools
  - 3.c: updated records retention policy (date passed: Apr. 7, 2021)
- D. Section 5: PAT
  - 5.a: Updated PAT membership to consist of 5 tenured/tenure-track faculty members, four of whom must be tenured (dated passed: March 8, 2023)
- D.Section 7: Curriculum Council
  - 7.a: addition of the Registrar *ex officio* (date passed: Nov. 3, 2021)
- D.Section 12.a: URAC Membership changed from five to four (date passed: Apr. 27, 2020)
- D.Section 13: CETAL - new section (date passed: Mar. 9, 2022)
- D.Section 14: Faculty Secretary - new number
- D.Section 15: Authority of Schools and Departments - new number
- E: Reminder of 30 day notice added to Chapter II approval process
- F.Section 1: Nominating Committee (date passed: Apr. 27, 2020)
  - 1.a: membership changed to three
  - 1.c: note on electronic ballots

### Chapter III:

- General Updates
  - Update of the titles of Associate Deans where appropriate (date passed: Feb. 9, 2022)
  - Update of General Education to Shared Curriculum where appropriate (date faculty notified: Nov. 3, 2021)
- A: (updated via approval of the faculty) - No additional changes made
- B.5: (updated via hearing committee and faculty) - No changes made
- B.1-4, 6: (updated via committee approval)
  - B.1: Beginning of term specified for CUPP chair (faculty notified: Sept. 14, 2022)
  - B.3: FDC: shift of curricular grants to CETAL, minor language updates (e.g., 'junior' changed to 'pre-tenure') (faculty notified: Dec. 1, 2021)
  - B.4: CC records retention policy added (date passed: Sept. 22, 2021)
  - B.6: CETAL added to list of Standing Committees (date passed: Dec. 1, 2021; updates passed: Mar. 9, 2022)
  - B.7: new section number for Nominating Committee; updated date for forms

- Appointive Committees, obsolete committees removed, language updated for other appointive committees including membership numbers and clarity edits. Further edits needed based on CUPP's new committee structure, passed by faculty vote on April 5, 2023.

#### Chapter IV: (updated via approval from the faculty, Provost, President)

- General Updates
  - Update of the titles of Associate Deans where appropriate (date passed: Feb. 9, 2022)
  - Update of General Education to Shared Curriculum where appropriate
- B.1.b: Instructional Staff added (date passed: Nov. 20, 2019)
- B.1.e: Extended Temporary Positions: edit for clarity
- B.3.b:
  - Replacement Policies for Tenure-Line Faculty Retirement/Resignation or for New Tenure Lines - updated (date passed: Feb. 15, 2023)
  - Criteria for Approving Library Faculty Tenure Line Positions added (date passed: Mar. 3, 2021)
- C.3.c: updates to sections on soliciting alumni/ae comments (dates passed: Sept. 18, 2019; Sept. 30, 2020) for tenure and criteria for external letters (date passed: Oct. 29, 2020)
- C.3.e-f: Review of coaches, PE faculty, and athletic trainers updated (date passed: Sept. 18, 2019)
- C.3.g.3: updates to criteria for external letters (date passed: Oct. 29, 2020)
- C.3.h: Instructional Staff added (date passed: Nov. 20, 2019)
- D: Evaluation calendar: parentheses added for clarity; June and July dates for external letters specified (date passed: Oct. 29, 2020)
  - Appendix: electronic submission process for promotion materials defined (date passed: Dec. 1, 2021)
  - Records management table updated (date passed: Sept. 30, 2020)
- E: Endowed Professorships updated (date passed: Sept. 30, 2020)
- F.2: Termination based on Financial Exigency: new paragraph reaffirming communication standards and process (date passed: Feb. 9, 2022)
- H.3: Review of Associate Deans added (date passed: Feb. 9, 2022)

#### Chapter V:

- General updates:
  - 'Instructional staff' added as category of instructor where 'faculty' duties listed (date passed: Sept. 22, 2021)

- Titles of Associate Deans (date passed: Feb. 9, 2022), Thorpe Center, and 25Live updated where necessary
- Gendered language removed where exclusion implied
- A: (updated via approval of the Provost and President)
  - A.1: Instructional Staff teaching load defined (faculty notified: Sept. 22, 2021)
  - A.3: Faculty Class Attendance updated (faculty notified: April 27, 2022)
  - A.4: Class Schedules: Summer Session included after May Term
  - A.6: Office Hours: updated to allow sign-up software and require posting office hours online (faculty notified: April 27, 2022)
- B: (updated via approval from the faculty, Provost, and President)
  - B.1: Student Class Attendance updated (date passed: April 27, 2022)
  - B.3: Mid-term grades required (date passed: Sept. 11, 2022)
  - B.5: Students of Special Concern section updated (date passed: Sept. 11, 2022)
- C-G: (updated via approval of the Provost and President)
  - C: Advising sections updated to reflect current practices and regulations (faculty notified: April 27, 2022)
  - E.1: Leave Programs: 'pre-tenure' rather than 'junior' clarified
    - E.1.a: clarification of sabbatical deferral and full-year benefit negotiations
  - F: Updates to clarify current state of Library Services, Permanent Equipment, etc.

Chapter VI: (updated via the approval of the Provost and the President)

- No change to sections on Research, Salary, or Academic Freedom sections other than numbering or a typo.
- E: Intellectual Property Policy updated (faculty notified Dec. 1, 2021)
- F: University-Wide Policies that Included Faculty added to link to these policies.
  - Policy statements applicable to all IWU employees (IT, Alcohol, Mandatory Reporting, Sexual Misconduct, Inclusivity, etc.) were removed from the Faculty Handbook to avoid duplication.

Chapter VII: (updated via the approval of the Provost and the President)

- B: University-Wide Benefits that Include Faculty added to link to these benefits
  - Benefits applicable to all IWU employees were removed from the Faculty Handbook to avoid duplication