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Foreword

The Faculty Handbook is designed to provide members of the faculty with general information about Western Kentucky University's history, philosophy, organization, policies and procedures, faculty responsibilities and benefits, and various services and facilities. In the interests of brevity and economy, duplication of information available in other University publications is held to a minimum, and references are made to other sources such as the University Catalog. It is suggested that faculty members familiarize themselves with these other publications in order to be better informed about Western. Specifically, faculty are encouraged to be familiar with the publication Western Kentucky University Governing Statutes-Rules-Policies. A copy of this document is available in each department head's and dean's office.

As the institution is changing constantly, so must the policies and procedures of the University. A concerted effort is made to keep the faculty informed of such changes. Suggestions on how future editions of the Handbook can be made more informative may be submitted at any time to the Office of the Vice President for Academic Affairs.
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History of Western

As a public institution of higher learning, Western Kentucky University came into existence in 1906 when a bill was enacted by the Kentucky General Assembly creating a state normal school in Bowling Green, headed by Dr. Henry Hardin Cherry. The name of the institution was changed by the Legislature in 1922 to Western Kentucky State Normal School and Teachers College. In 1930 the school's name was changed to Western Kentucky State Teachers College, and in 1948 it was changed to Western Kentucky State College. It became Western Kentucky University in 1966.

From its beginning as a small state normal school with about 300 students and a dozen faculty members, Western has grown in both size and scope of academic programs. Enrollment has grown from less than 1,700 in the fall of 1955 to nearly 15,000 students in the fall of 1994. The faculty has grown from fewer than 100 in 1955 to over 550 in 1994 and the number of teaching faculty holding the earned doctorate or other terminal degree has advanced from under 25% to more than 70%. In 1955 Western conferred two undergraduate degrees and one graduate degree; currently the University offers three associate degrees, five baccalaureate degrees, six masters degrees, the specialist degree, and cooperative doctoral programs with the University of Kentucky and the University of Louisville. The number of fields in which students may pursue studies has increased substantially during the same period. (For more complete information on degrees and areas of study available see the current Western Kentucky University Catalog Issue and Graduate Studies Issue.

The University physical plant likewise has undergone tremendous growth, expanding from a few classrooms and offices in one building in 1906 to a main campus of more than 66 modern buildings and approximately 200 acres. (For an up-to-date list and description of University physical facilities consult the Western Kentucky University Catalog Issue.

Many of the ideals upon which the University was founded were expressed by Western's first President, Dr. Henry Hardin Cherry, and are still guiding principles today. For example, Dr. Cherry articulated these goals for Western:

I. To be a live school and to impart to its students a burning zeal to do and to be something.

II. To let the reputation of the school be sustained by real merit.

III. To lead the student to understand that a broad and liberal education is essential to the highest degree of success in any endeavor in life.

Through the years the school has striven constantly to provide its students with varied educational opportunities within an academic climate intended to promote the
legitimate objectives of liberal education, democratic citizenship, character development, and the pursuit of excellence.

For an interesting and more detailed historical background of Western, read Lowell Harrison's book, Western Kentucky University (Lexington: University Press of Kentucky, 1987).
University
Organization and Administration

Board of Regents - The Board of Regents is the governing body of Western Kentucky University, as provided by state law. This board is composed of eleven members, eight appointed by the Governor, one faculty regent elected by the faculty, one student regent elected by the students and one staff regent elected by the staff. Kentucky Revised Statute 164.350 provides in pertinent part as follows:

The government of (Western Kentucky University) is vested in its...board of regents...When its members have been appointed and qualified, (it) shall constitute a body corporate, with the usual corporate powers, and with all immunities, rights, privileges and franchises usually attaching to the governing bodies of education institutions.

President - The University President is the chief executive officer to whom the Board has delegated authority, as its agent, to direct, govern, and manage the affairs of the University and to make day-to-day decisions and judgements necessary to carry out that responsibility. See the Appendix for detailed organizational charts.

Vice President for Academic Affairs - The administrative officer responsible for academic instruction, research, public service and related support offices.

Vice President for Finance & Administration - The administrative officer responsible for the management of the financial and business affairs of the University.

Vice President for Student Affairs - The administrative officer responsible for supervision of administrative programs relating to student life and student services.

Vice President for Institutional Advancement - The administrative officer responsible for development and external and alumni relations.

Academic Deans - The administrative officers responsible for the leadership and administration of the academic colleges/areas of the University. The deans of the College of Business Administration; the College of Education and Behavioral Sciences; the Ogden College of Science, Technology and Health; the Potter College of Arts, Humanities and Social Sciences; Graduate Studies and Research; the University Libraries; and the Assistant Vice Presidents for Academic Affairs report to the Vice President for Academic Affairs.

Academic Department Heads - The administrative officers responsible for the leadership and administration of the academic departments of the University. Academic department heads report to the appropriate academic dean.
ACADEMIC ORGANIZATION

Organization for Instruction - The University is organized into four colleges under which are grouped related departments and programs. The colleges are the Bowling Green College of Business Administration, the College of Education and Behavioral Sciences, the Ogden College of Science, Technology and Health, and the Potter College of Arts, Humanities and Social Sciences. In addition, the university includes a Community College division.

Each college is administered by a dean and each department by a department head. In an effort to keep lines of communication open and to encourage free exchange of views and ideas, meetings of college and departmental faculties are held periodically.

A copy of the approved budget of each department is filed with the department head and the dean of that college. Included in this budget, for the benefit of the faculty members, are allocations for the purchase of instructional supplies and materials, equipment maintenance, office supplies, travel, and capital outlay.

The Academic Council - The Academic Council is a major initiator of academic policy recommendations within the University. The Council is composed of 54 voting members, including 40 elected faculty members, five student members representing the four colleges and Graduate Studies and Research, and 9 ex-officio members. The Council is the primary agency for curriculum review and control and for the determination of degree requirements, standards of scholastic achievement and rules governing faculty-student relations.

The complete Charter of the Academic Council is included in the Appendix.

Faculty Senate - The Faculty Senate at Western Kentucky University is an elected body of representatives from the faculty whose function is to provide a forum for the concerns and interests of the University-wide faculty community, to furnish advice and recommendations with reference to policies that pertain to the faculty and to make available to the University the expertise of the faculty on appropriate matters. The complete Constitution of the Faculty Senate is included in the Appendix.

Council of Academic Deans - The Council of Academic Deans is composed of the Vice President for Academic Affairs (who serves as chairperson); the Dean of the College of Business Administration; the Dean of the College of Education and Behavioral Sciences; the Dean of the Ogden College of Science, Technology and Health; the Dean of the Potter College of Arts, Humanities and Social Sciences; the Dean of Graduate Studies and Research; the Dean of Libraries; and the Assistant Vice Presidents for Academic Affairs. The council provides leadership and coordination for the academic affairs of the University.

Administrative Council - The Administrative Council includes officials of the major administrative units of the University: the President, who serves as chairperson; the University Counsel; the Vice President for Finance and Administration; the Vice
President for Institutional Advancement; the Vice President for Student Affairs; the Vice President for Academic Affairs; the Assistant Vice Presidents for Academic Affairs; the Dean of Student Life; the Dean of the College of Business Administration; the Dean of the College of Education and Behavioral Sciences; the Dean of Graduate Studies and Research; the Dean of Ogden College of Science, Technology and Health; the Dean of the Potter College of Arts, Humanities and Social Sciences; the Dean of Libraries; and the Assistant Vice Presidents for Finance and Administration.

The Graduate Council - The Graduate Council has general supervision and control over all matters of graduate instruction, including admission and degree requirements, curricula, Graduate Faculty membership, and general academic regulations. The Graduate Council submits recommendations concerning initiation or revision of graduate courses and programs through the Academic Council to the President and the Board of Regents. The Council is composed of the Dean of Graduate Studies and Research as chairperson, three faculty members elected by and from the Graduate Faculty of each of the academic colleges offering graduate courses, and four students - one graduate student member elected by and from the graduate students of each of the academic colleges offering graduate courses.

COMMITTEES

University Curriculum Committees - One University-wide and four College Curriculum Committees review and approve curriculum proposals within their specialized academic areas and exercise general supervision of the total curricula under their jurisdiction. Recommendations from these committees are forwarded to the Academic Council or, in the case of graduate programs, to the Graduate Council and then to the Academic Council. These committees and the committees of the Faculty Senate are outlined below:

Teacher Education Committee - All matters, curricular or otherwise, relating to teacher education programs must be reviewed and approved by this committee prior to consideration by the Graduate Council or the Academic Council. The Teacher Education Committee is composed of the Dean of the College of Education, Chairperson; Head, Department of Teacher Education; the University Registrar; one academic director from the graduate professional education programs (rotated annually); one department head or academic director from other professional education programs (rotated annually); one faculty member from each college curriculum committee; one member from the Graduate Council; one member from the Academic Council; one undergraduate student; one graduate student; and two public school teachers (appointed by the Kentucky Education Association). All other academic deans with University-wide responsibilities have associate membership on the Committee.

College Curriculum Committees - The Curriculum Committee for each of the undergraduate colleges is the body which initially considers proposals for curriculum
expansion or revision from academic departments or curricular areas within that college. Each college curriculum committee is composed of the dean of the college, the department heads within the college, the directors of other divisions or offices within the college, and one elected faculty member from each department in the college. Each college also has a graduate curriculum committee to review graduate related matters and make recommendations to the Graduate Council.

Numerous other college, departmental or other unit committees function. Information concerning these committees can be obtained from the administrative office involved.

**Standing Committees of the Academic Council** - This body has three standing committees: the Rules Committee, the General Education Committee, and the Academic Requirements and Regulations Committee. (See the Charter of the Academic Council for the composition and functions of each committee.)

**Standing Committees of the Faculty Senate** - The Faculty Senate has the following standing committees: the Executive Committee; the By-Laws, Amendments and Elections Committee; the Faculty Status and Welfare Committee; the Professional Responsibilities and Concerns Committee; the Fiscal Affairs Committee; the Academic Affairs Committee; and the Communications Committee. (See the Constitution of the Faculty Senate for descriptions of these committees.)
INSTITUTIONAL POLICIES: FACULTY AND FACULTY-RELATED ACTIVITIES

FACULTY APPOINTMENTS

Appointment Process - Appointments of faculty and staff are made by the Board of Regents. Interim appointments may be made by the President subject to ratification by the Board of Regents if the appointment has not been previously so approved. Recommendations to the Board for new faculty and staff member appointments are developed through a cooperative procedure involving search committees, department heads, college deans, the Vice President for Academic Affairs, and the President. Incumbent faculty members are involved in the interview phase of recruitment. Normally, recommendations to the Board are made only after the candidates are interviewed, recommended by the search committee, the department head, the college dean, and the Vice President for Academic Affairs, and approved by the President. The university is an Affirmative Action/Equal Opportunity Employer.

What is generally referred to as the contract, outlining the specific terms of employment at Western, actually consists of the complete correspondence between the President and the prospective faculty member. Unless otherwise specifically stated in writing, new faculty members receive temporary probational appointments for the duration of one academic year. Notice of appointment is by letter from the President. Enclosed with the letter is a form to be signed by the recipient and returned to the President indicating acceptance or rejection of the terms of employment.

SPECIAL FACULTY APPOINTMENTS

Part-Time Faculty - This is a special appointment for qualified individuals who are employed on a part-time basis to teach university classes. The University's regular guidelines for faculty rank and tenure and the provisions of the Kentucky Retirement System do not apply to these employees.

The following guidelines are to be applied in the employment of these personnel:

GRADE I Persons employed in this category should hold at least a bachelor's degree and have a minimum of three years related experience or hold the master's degree.

GRADE II Persons employed in this grade should hold at least the master's degree and have 3-5 years teaching experience or have other special training and experience related to the teaching position.

GRADE III Persons employed in this grade should hold at least the master's degree and have 5 years or more teaching experience, hold other degrees or certifications (Ed.S., CPA, CPE, etc.) or special qualifications, or hold the doctorate.
GRADE IV  Persons employed in this grade should hold the doctorate and have a minimum of 7 years teaching experience or other special qualifications applicable to their teaching role.

In the establishment of equivalent experience for purposes of stipend determinations, the teaching of eight courses (24 semester hours) as a part-time faculty member constitute one year's experience. Years of service as a part-time faculty member do not count toward consideration for tenure.

Special Benefits:
A. I.D. card for Library and Bookstore privileges.
B. A temporary faculty-staff parking permit is issued for the duration of the part-time employment.
C. Partial tuition waivers.

Maximum Load:
Part-time personnel shall not be employed to teach more than 9 hours at the undergraduate or 6 hours at the graduate level per semester.

Evaluation:
Part-time teaching faculty are employed to provide instruction in specific courses. In that capacity, they are expected to provide instructional quality comparable to that provided by full-time faculty. Thus, instructional performance of part-time faculty is evaluated using the same standards and procedures.

OTHER SPECIAL FACULTY APPOINTMENTS:

Visiting Professor - This is a special appointment designed particularly for academic personnel who are qualified for such a position at Western Kentucky University by virtue of educational service elsewhere. Participation in the Kentucky Retirement System is determined according to eligibility and whether vestiture would be possible. This is a one-year appointment subject to renewal.

Distinguished Visiting Professor - This is a special appointment designed for academic persons of particularly outstanding service elsewhere. Participation in the Kentucky Retirement system is determined according to eligibility and whether vestiture would be possible. This is a one-year appointment subject to renewal.

Appointee in Residence - The individual receiving this appointment, designed for persons particularly distinguished in their fields, is designated as artist in residence, author in residence, musician in residence, sculptor in residence, or scientist in residence.

Adjunct Professor - This appointment enables a person of established reputation or distinction in his/her field to work with graduate students, to work as a member of a
special research team, or to offer special instruction in the discipline. Adjunct Professors receive no salary unless it is separately contracted and are not entitled to tenure or other faculty benefits unless specifically authorized. Appointments are on an annual basis and subject to renewal.

RANK AND PROMOTION REQUIREMENTS

I. Rank and Promotion

Faculty rank and promotion in rank at Western Kentucky University are based on criteria adopted by the Board of Regents.

A. General Principles

1. Rank is granted on the basis of academic qualifications, experience, and demonstrated achievement. The criteria stated below will serve as guides in assigning academic rank. Exceptions to these criteria may be made in situations where the candidate shows exceptional credentials based upon (a) academic qualifications; (b) experience; or (c) demonstrated achievement in teaching effectiveness, research/creative activity, and university/public service.

2. The department head and departmental faculty within each academic unit have the responsibility of developing specific criteria for determining what constitutes "demonstrated achievement" for each rank. These criteria must conform to minimum university standards listed below and must be distributed to each faculty member. Guidelines for all ranks must be recommended by the department head, the academic dean, the Vice President for Academic Affairs, and the President and approved by the Board of Regents.

II. Criteria for Individual Ranks

A. Professor

1. Academic Qualifications: The earned doctorate or the appropriate terminal degree in the profession.

2. Experience: A minimum of five years' service at the rank of associate professor.

3. Demonstrated achievement appropriate for this rank in teaching effectiveness, research/creative activity, and university/public service.
B. Associate Professor

1. Academic Qualifications: The earned doctorate or the appropriate terminal degree in the profession.
2. Experience: A minimum of five years' service at the rank of assistant professor.
3. Demonstrated achievement appropriate for this rank in teaching effectiveness, research/creative activity, and university/public service.

OR

1. Academic Qualifications: Master's degree plus advanced graduate study equivalent to all courses except dissertation (ABD) in the appropriate discipline.
2. Experience: A minimum of ten years' service at the rank of assistant professor.
3. Demonstrated achievement appropriate for this rank in teaching effectiveness, research/creative activity, and university/public service.

C. Assistant Professor

1. Academic qualifications: The earned doctorate or the appropriate terminal degree in the profession, or the master's degree plus at least twenty-four semester hours' graduate work related to the faculty member's academic area.
2. Experience: A minimum of three years' service at the rank of instructor (may be waived for persons holding the doctorate).
3. Demonstrated achievement appropriate for this rank in teaching effectiveness, research/creative activity, and university/public service.

D. Instructor

1. Academic Qualifications: Master's degree or demonstrated ability in the field in which the candidate is employed.

III. Criteria for Promotion Recommendations

A. General

Promotion decisions at Western are made at six levels: recommendations from department peer review, the department head, the academic dean, the
Review at all levels will apply the standards for promotion set by the university. The academic deans will establish and preserve for the various disciplines achievement levels which equalize the rigor with which candidates from different departments are judged. The standards developed by each academic department must be in compliance with the standards expressed here and should serve to state explicitly the requirements for promotion within a specific department.

University policy requires the following for promotion at every rank: Demonstrated achievement appropriate for this rank in teaching effectiveness, research/creative activity, and university/public service.

Demonstrated achievement will be considered only as it is relevant to the individual's area of professional competence. Only contributions since the last promotion will be considered for the next promotion. It is the responsibility of the candidate seeking promotion to provide promotion committees with the appropriate evidence on which to base a decision. Departments will develop specific criteria appropriate to their disciplines, but evaluation of all areas, both at the departmental and at the academic deans' levels, will take into consideration both quantity and quality.

B. Academic Qualifications

1. See University Rank and Promotion Requirements

2. In some areas professional certification and the related license to practice may be required.

C. Areas of Performance

1. Teaching Effectiveness—Evidence in this area may include, but is not limited to, the following:

   a. An evaluation of both the systematic organization of appropriate materials for presentation and communication to students of course objectives, plan of study, and means of student performance evaluation.

   b. An evaluation of the effectiveness of presentation whether by lecture, discussion, assignment and recitation, demonstration, laboratory exercise, practical experience,
consultation, field trips, computer-assisted instruction, reading lists, filmed or video taped materials, simulations, and games.

c. An evaluation of assessment procedures such as tests, grading practices, and clinical performance.

d. An evaluation of professional responsibility such as in meeting classes; holding office hours; providing academic advising to students; returning materials in a timely fashion; making clinical assignments; supervising students; treating students in a fair, impartial, and respectful manner.

e. An evaluation of the effectiveness with which students are stimulated to develop critical and/or creative abilities and intellectual curiosity by such means as independent study or thesis projects, for example.

f. An evaluation of the knowledge of recent discoveries and literature in the field; the use of the latest scientific/technological innovations; participation in professional activities, such as training programs, technical seminars, self-study programs.

g. Self-evaluation through course evaluations; departmental exams; comments from peers, students, and alumni.

h. An evaluation of cooperation in developing, scheduling, and teaching general undergraduate and graduate courses on and off campus.

i. An evaluation of the development of textbooks, workbooks, manuals, tapes, slides, other print and nonprint learning resources developed primarily for classroom use.

j. An evaluation of the success of students on uniform examinations, in acceptance to graduate and professional programs, in winning awards, or in other highly significant achievements.

k. Documentation of direct assistance in helping students find employment in their major field of study.
2. Research/Creative Activity--Evidence in these areas may include, but is not limited to, the following:

a. Publication of books, monographs, articles, maps, bibliographies, indexes, catalogs, textbooks, and papers in professional journals; production or direction of nonprint media work; reports to federal, state, or local agencies; cases.

b. Presentations of papers, cases, media productions, etc., at professional and other scholarly meetings.

c. Participation in studies, programs, creative activity supported by extramural funds.

d. Production and display of musical compositions, paintings, sculpture, ceramics, weaving, photographs, graphics and other works of art; recitals, choreography, stage design and construction, costuming, direction; production of film and video taped materials.

e. Inventorship or co-inventorship leading to U.S. and/or other patents.

f. Participation in the development of innovative curricular materials such as curriculum guides, computer assisted instruction, lab equipment, video tapes, films and film strips, manuals, workbooks, tools, or models which break new ground and successfully advance concepts, ideas and approaches that transcend ordinary instructional material.

g. Invitations to conduct research at other universities or research oriented agencies; to prepare questions for professional examinations.

h. Continuation of current research or other creativity not yet resulting in publication, performance, or display.

3. University/Public Service--Evidence in these areas may include, but is not limited to, the following:

a. Service on departmental, college, university committees, councils, senates; in appropriate professional organizations as officer, editor, referee; to local, state, and/or national
governmental boards, agencies, commissions; to business and industry or private citizens as technical expert or member of a policy advisory committee; as organizer/director of seminars, workshops and/or other conferences.

b. Participation in meetings, symposia, conferences, workshops; in radio and/or television by developing and presenting materials for public awareness; conducting or performing.

c. Work with schools through contact with teachers, administrators, students; through participation in science fairs, college day programs, lectures, performance, in-service programs; through advice on curricular matters, pedagogy, and the like.

d. Direction of internships, cooperative education, practica; learning laboratories; professional clubs and other organizations.

e. Advisement to student organizations.

f. Preparation of grant proposals for instruction, research, and administrative support activities.

D. Levels of Performance

1. Promotion to Full Professor

a. Teaching Effectiveness—consistently above the average level of performance according to departmental standards.

b. Research/Creative Activity—a record of significant and high quality productivity.

c. University/Public Service—a record of significant and high quality productivity.

2. Promotion to Associate Professor

a. Teaching Effectiveness—attainment of at least the average level of performance according to departmental standards.
b. Research/Creative Activity—tangible evidence of high quality productivity.

c. University/Public Service—tangible evidence of high quality productivity.

IV. Procedures for Recommending Promotion

A. To initiate consideration of candidates for promotion, the head of the department annually informs all faculty members that a promotion review is forthcoming and invites the candidate to supply relevant information by a specific date if the candidate believes he or she qualifies for consideration under the criteria stated above.

B. If there are candidates for promotion, the academic department establishes a Rank and Promotion Committee composed of all tenured faculty members in the department holding an academic rank higher than that of the candidate. The committee elects a chair. The department head serves as ex-officio, non-voting member of the committee, except in cases where the department head is a candidate for promotion. For departments with fewer than six tenured faculty members holding academic rank higher than that of the candidate, a sufficient number of faculty of the same rank as the candidate will be added to bring the committee to six. These faculty will be selected based on seniority in that rank at Western Kentucky University. If a department has fewer than six tenured faculty members of the same or higher rank as the candidate, the committee will consist of all tenured faculty in the department of the same or higher rank as the candidate. A committee member who is a candidate for promotion is not permitted to be present during deliberations on his or her rank.

C. The department's Rank and Promotion Committee reviews all relevant factors and votes on the candidate. The department head also reviews all relevant factors and forwards an individual recommendation, all evaluation materials, and a written report of the committee's vote to the college dean, who in turn forwards a recommendation of all evaluation materials to the Vice President for Academic Affairs. Upon receiving all written materials and a recommendation from the Vice President for Academic Affairs, the President reviews the recommendation and forwards to the Board of Regents his recommendations for promotion.

D. Whenever a recommendation to promote is disapproved at any level, this fact must be reported back to the preceding levels. The department head must inform the faculty member in writing that disapproval has occurred. Any related appeal through administrative channels or the University
Grievance Committee must be initiated in writing by the faculty member to the department head within thirty days after receiving notification from the department head. The purpose of the Grievance Committee is to review the file to insure that established procedures were followed in considering the faculty member for promotion. The Grievance Committee does not attempt to judge the academic qualifications or achievements of the candidate.

V. Administrative Regulations for Implementing Board of Regents Policy on Promotion

A. Faculty are given the opportunity to apply for promotion in September with a deadline of **October 1** for application.

B. Departments are to make their recommendations to their respective deans by **November 1**. In case of a negative vote by the departmental rank and promotion committee, the faculty member has the option of withdrawing the application or requesting that it be forwarded to the department head. If the department head concurs with the negative committee recommendation in his/her recommendation to the dean, the faculty member may withdraw the application or appeal the negative recommendation to the college level.

C. Deans will make their recommendations to the vice president by **December 1**. This time frame allows for college review committees. In case of a negative recommendation by the college dean, the faculty member may withdraw the application or appeal to the Vice President for Academic Affairs.

D. The Vice President will notify deans of any disagreement with their recommendations by **January 2**.

E. The Vice President will make recommendations to the President by **January 15**. In case of a negative recommendation, the faculty member may withdraw his/her application or request a review of his/her credentials. The faculty also has the option, after all reviews and appeals have been exhausted, of filing formal grievance in accordance with the procedures outlined in the Faculty Handbook. The President will send his recommendations to the Board of Regents at the April meeting.
TENURE POLICY

I. Introduction

A. Tenure is a means to achieve such goals as:

1. Freedom of teaching and research (for the University's statement on academic freedom, see page 40).
2. A sufficient degree of economic security to make the profession attractive to men and women of ability.
3. Institutional continuity and stability through a substantial contingent of faculty with long-range commitment to Western Kentucky University.

B. The development and retention of an increasingly competent faculty is an objective of Western Kentucky University to which tenure makes a significant contribution. While length of service determines one's eligibility to be recommended for tenure, tenure will be granted only to those faculty members with the rank of Assistant Professor or above at Western who have attained the educational qualifications specified for the positions they hold and who demonstrate outstanding performance in carrying out their professional responsibilities during the probationary period.

II. Faculty Tenure Appointment Policy

A. Decisions concerning tenure will be based on performance in the following categories: instructional activities, other scholarly activities, and service to and for the University. It is understood that the faculty member should cooperate in working with colleagues in carrying out the University's educational mission. The following general statements will serve as guidelines for evaluating the faculty member's performance in assigned responsibilities.

The evaluation of instructional performance considers factors including knowledge of subject matter, teaching effectiveness, academic advisement, and curriculum development.

The evaluation of other scholarly activities considers factors including the individual's activities and achievements in areas such as research, publications, program participation at professional meetings, creative activity, and work toward a terminal degree (if the degree is a requirement for the position).
The evaluation of service to and for the University considers factors including committee work, student-related activities, and public and community service. Public and community service should be related to the special competencies of the individual and be an extension of the faculty member's role as a scholar-teacher.

B. Policies and Procedures for Evaluation of Non-Tenured Faculty and for Tenure Recommendations

Full-time faculty members holding the rank of Assistant Professor, Associate Professor, or Professor and eligible for tenure are appointed with the understanding that there will be a probationary period. Faculty members appointed at the rank of instructor are employed on an annual contract and are not eligible for tenure.

In addition to the regular annual evaluations of all faculty, untenured faculty will be evaluated in the second through fifth year of their probationary period on their progress toward tenure.

At the beginning of each fall semester Department Heads will submit to the Dean of the college a cumulative evaluation of faculty in their second to fifth year of probation. The purpose of this evaluation is to determine whether there has been sufficient progress toward tenure to justify continuation of the faculty member. In making the evaluations on progress toward tenure, Department Heads shall consult with the tenured faculty in the department and shall evaluate the faculty member specifically in the areas of teaching, research/creative activity, and university/public service. Any deficiency in performance will be clearly stated, and the faculty member under review will be given a copy of the evaluation with an opportunity to respond.

The Department Head's evaluation and recommendation will be submitted to the College Dean no later than September 10. In case of a negative recommendation, the Department Head will inform the faculty member in writing. The Dean's response and recommendation shall be submitted to the Vice President for Academic Affairs no later than September 20. In case of a negative recommendation, the Dean will notify the faculty member. The Vice President will submit any negative recommendation to the President and to the faculty member by September 25. The President will notify any faculty member of his/her non-continuation on or before October 1.

The probationary requirement may be satisfied through full-time faculty service as follows:
1. Six years as an Assistant Professor or above at Western Kentucky University.

2. Under exceptional circumstances, the university may consider tenure in less than the usual probationary time.

3. Authorized leaves of absence will not be credited toward eligibility for tenure unless otherwise specified at the time they are taken.

The procedures to be followed in tenure recommendations are:

1. The Department Head will be responsible for notifying probationary faculty of the date for consideration of mandatory tenure. A faculty member who has applied for tenure before the sixth year of service at Western may withdraw from the process at any time without prejudice; however, in the sixth year a tenure decision must be made.

2. The faculty member being considered will be responsible for providing the tenured faculty by October 1 with all materials which he/she wishes to be considered in the tenure decision.

3. Before November 1 the Department Head will convene all tenured faculty and preside at the election of a chair of the tenure committee. The tenured faculty in executive session will discuss the credentials of all faculty eligible for tenure and make appropriate recommendation(s) based upon the department, college, and university standards to the Department Head. The tenured faculty will vote by secret ballot to tenure or not to tenure. The Department Head may attend the meeting but is not eligible to vote. Faculty members who are unable to be present at the meeting must notify the Department Head in advance and with the consent of the Department Head may submit a sealed envelope with a secret ballot enclosed for each person under review. This vote will constitute the recommendation of the tenured faculty to the Department Head, and the chair of the tenure committee will confidentially appraise the tenured faculty of the results at the meeting. The Department Head will notify the faculty candidate for tenure of the vote of the tenure committee.

4. The Department Head will submit a written recommendation on each faculty member eligible for tenure to the Dean by November 1, and forward to the Dean the results of the tenured faculty vote. The Department Head will advise the candidate of his/her recommendation in writing before November 15.
5. The Dean will submit a written recommendation to the Vice President for Academic Affairs and forward the recommendations of the department's tenure committee and the Department Head by December 15.

6. The Vice President for Academic Affairs will make a recommendation to the President by February 1 and will forward the recommendations of the department's tenure committee, the Department Head, and the Dean. The Vice President will inform the candidate of his/her recommendation by February 15.

7. The President will make recommendations to the Board at the April meeting. The faculty member will be notified of the final tenure decision by May 15 and, in case of a negative one, will be allowed an extension of one year only.

III. Advisory Committee on Faculty Continuance

The President is authorized to establish an Advisory Committee on Faculty Continuance. Its functions and duties shall be those outlined in the Procedure for Review of Non-Reappointment Recommendations and the Procedures for Termination (see sections IV and V).

A list of eligible tenured faculty members assigned to full-time teaching, research, and/or academic service duties, other than the faculty regent, shall be selected as follows:

a. Every two years, each Academic Department shall elect one eligible faculty member.

b. Nominees shall be elected by secret ballot by all members of the faculty unit holding academic rank as defined in the Faculty Handbook.

c. The election of nominees shall be conducted under rules and procedures developed by the Rules Committee of the Academic Council.

d. Persons elected as nominees eligible for appointment shall remain on the eligible list for a period of two academic years, and may be re-elected.

The committee shall be a standing committee consisting of five (5) tenured faculty members. Membership on the committee shall be selected annually from the list by lot. A faculty member shall not participate in a case involving a faculty member from the same department; and a member chosen shall remove himself/herself on his/her own initiative, if he/she deems himself/herself disqualified because of bias or interest. In addition, each party shall have a maximum of two (2) challenges without stated cause. Supplementary selections and lists shall proceed in the same manner until an accepted committee is constituted.

The committee shall designate one (1) member as Chairperson.
IV. Procedure for Review of Non-Reappointment Recommendations

Each appointment of a faculty member during the probationary period continues only for the limited term specified in the appointment document. There is no obligation to appoint for another such term. Each such appointment terminates without further action on the expiration date specified in the appropriate document, unless renewed.

If a decision is made not to recommend reappointment of a faculty member upon expiration of any appointment during the probationary period, the President shall provide the affected faculty member official written notice as follows:

a. By March 1 of the first appointment;
b. By October 1 of the second appointment; and thereafter.

The University is not obligated to furnish a statement of reasons for the decision not to recommend reappointment of a faculty member for another term during the probationary period, and it is the policy of the University not to furnish a written statement of reasons for such a decision. However, it is the policy of the University that, upon request of the faculty member, the department head and dean of the college and Academic Vice President will arrange a conference with the faculty member to discuss informally the circumstances surrounding the non-reappointment. If this conference fails to satisfy the faculty member, the President will have a related conference with the faculty member upon request.

If a faculty member on non-tenured appointment has received official notice of a decision not to recommend reappointment and the faculty member has factual information as grounds upon which it is claimed that the decision not to recommend reappointment was arbitrary or capricious or was based on considerations that violate constitutionally protected rights or interests (e.g., consideration of race, sex, national origin, exercise of free speech, association, etc.), a complaint may be filed with the department head or office to which the faculty member is assigned. Copies of the complaint are to be sent to the college dean, the Academic Vice President and the President.

The complaint shall be in writing and be filed within thirty (30) days after receipt of official notice. It shall be accompanied by a written, signed statement that the faculty member agrees that the university representatives who made the decision not to recommend reappointment may present information in support of the decision for the purpose of confidential consideration by members of the Advisory Committee on Faculty Continuance in the event the complaint is referred to it.

The President may cause the complaint to be set for formal evidentiary hearing. As an alternative, the President may refer the complaint to the Advisory Committee on Faculty Continuance for preliminary inquiry, consultation, and its reasoned advice and recommendation. The Committee will seek to settle the matter by preliminary inquiry, consultation, discussion, and confidential mediation.

If the difficulty is unresolved informally within three weeks from the receipt of the complaint, the committee shall furnish the President with a written report containing its advice and recommendations as to whether or not the President should cause the matter to be set for formal evidentiary hearing. The report shall include a statement of the committee's specific reasons in support of its advice and recommendation.
Upon the recommendation of the committee, the President shall cause the matter to be heard by an ad hoc committee. The faculty member making the complaint herein is responsible for stating the specific grounds upon which the allegation is based and the burden of proof shall rest upon the complainant.

The ad hoc committee shall consist of five (5) members chosen by lot from the list of eligibles provided for in Part III. A member chosen shall remove himself/herself from the case on his/her own initiative if he/she deems himself/herself disqualified because of bias or interest. In addition, each party shall have a maximum of two challenges with or without stated cause. If the list shall be exhausted before an acceptable committee has been obtained, supplementary list selections will be made following the initial procedure. The committee shall select its own chairperson.

The committee will adhere to the following procedures:

1. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence; and the university will, insofar as it is possible for it to do so, secure the cooperation of such witnesses and make available necessary documents and other evidence within its control.

2. The faculty member and the university will have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear but the committee determines that the interests of justice require admission of his/her statement, the committee will identify the witness, disclose his/her statement and if possible provide for written interrogatories.

3. The hearing committee 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.

4. Although both parties may seek outside advice as needed, neither will be formally represented by legal counsel in these hearings.

5. The hearing committee will grant adjournments to enable either party to investigate evidence as to which a valid claim of surprise is made.

6. The findings of fact and the decision will be based solely on the hearing record.

7. 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 the university representatives will be avoided so far as possible until the proceedings have been completed, including consideration by the Board of Regents.

Upon conclusion of the hearing, the committee shall report its findings, conclusions, and recommendations to the President for transmittal to the Board of Regents. The Board of Regents will consider the record and the report and may either sustain the recommendation of the committee or return the proceedings for reconsideration of specific objections made by the Board. The committee will then reconsider, taking
into account the stated objection and receiving new evidence, if necessary. The Board of Regents will make the final decision after a study of the committee's reconsideration.

V. Procedures for Termination

A tenured appointment of a faculty member results in a commitment to successively reappoint the faculty member, except that tenured status of a faculty member may be terminated:

1. By retirement;
2. By resignation and acceptance thereof;
3. By a dismissal for cause;
4. By a decision of the Board of Regents that termination is necessary because of financial exigencies of the institution; or
5. By a decision of the Board of Regents that termination is necessary due to changed academic program needs resulting in a situation so that there is no longer a teaching position available within the University for which the faculty member is qualified.

The term of a faculty appointment for one year may be terminated prior to the stated expiration date:

1. By resignation and acceptance thereof or
2. By dismissal for cause.

Causes for dismissal specified in Kentucky Revised Statutes 164.360 are incompetence, neglect of or refusal to perform duties, or immoral conduct.

A. Procedure for Dismissal for Cause

A faculty member who has tenure or an unexpired probationary appointment may be dismissed only for cause. Statutory cause sufficient to support dismissal consists of incompetency, neglect of or refusal to perform duties, or immoral conduct. Under the provisions of Kentucky Revised Statutes 164.360, Board of Regents' proceedings for dismissal of a faculty member can be initiated only upon written charges preferred by the President and shall be decided upon in the manner provided therein.

In any case in which the President of the University has personal knowledge of information sufficient to make an informed judgement that a faculty member should be dismissed for cause, after informal notification of the faculty member involved, charges may be brought without further consultation as provided by Kentucky Revised Statutes 164.360(3).

Any member of the University Community other than the President who desires to initiate charges in support of a proposed dismissal of a faculty member shall initiate
the proposed dismissal with the department head or office to which the faculty member is assigned. The proposed dismissal shall be in the form of a written signed statement of the facts relied upon to support one or more of the statutory grounds for the proposed dismissal.

After informal notification of the faculty member involved, the department head shall evaluate the proposal and submit a written recommendation to the dean of the college. The dean of the college shall make an independent evaluation of the proposal and submit a written recommendation to the Vice President for Academic Affairs. The Vice President for Academic Affairs shall make an independent evaluation and submit to the President of the University a written recommendation together with the entire file.

If the President of the University determines that dismissal for cause charges should be brought, charges shall be preferred as provided herein.

If the President of the University determines that additional information is needed in order to make an informed judgement as to whether or not to file charges, the file may be referred to the Advisory Committee on Faculty Continuance for preliminary inquiry, consultation, and its reasoned advice and recommendation.

A genuine effort will be made by the Committee to resolve the entire matter by informal methods of preliminary inquiry, consultation, discussion, and confidential mediation. If the difficulty is unresolved informally within the three weeks after receipt of the file, the Committee shall furnish the President with a written report containing its advice and recommendation as to whether or not the President should prefer charges of dismissal for cause. The report shall contain a statement of the Committee's specific reasons in support of its advice and recommendation.

In any case in which the President decides that procedures for dismissal for cause are appropriate, the President shall forward to the Board of Regents a written recommendation of dismissal. The President's letter to the Board of Regents recommending dismissal is to be accompanied by a formal written complaint setting forth specifically the nature of the factual information constituting grounds for dismissal. A copy of the complaint will be sent to the faculty member who is being charged. In transmitting a copy of the complaint to the faculty member being charged, the President shall advise the faculty member of the following:

a. That the attached charges have been preferred against the faculty member to the Board of Regents;

b. That a written answer to the charges is required to be filed with the Secretary of the Board of Regents;

c. That the faculty member's answer to the charges may be either an admission or a denial of the charges; and

d. That the faculty member has a right to be heard by the Board of Regents and to present testimony personally or through counsel.

If the charged faculty member fails or refuses to file the required written answer to the charge with the Secretary of the Board of Regents within ten (10) days after receipt
of notice of the charges, or if the faculty member's answer admits the charges, proceedings will terminate and an order of dismissal entered.

If a faculty member being charged files an answer denying the charges, a hearing by the Board will be set and heard at a designated place, time, and date, but not sooner than three weeks after written notice of the charges has been received by the faculty member.

The proceedings at the hearing shall be transcribed and permanent record kept of the charges, notices, and other actions.

The proceedings are not governed by formal, legal rules of procedure and evidence. The Board may consider any information of a kind that has a probative value. The following agenda will be maintained:

a. Entry of appearances of the parties and witnesses;
b. Statement of charges by counsel for the University;
c. Entry of the faculty member's denial of the charges;
d. Presentation of evidence by the President or a designated representative;
e. Opportunity for the faculty member or counsel to present evidence refuting the charges;
f. Summation or statement on behalf of the University by the President or a designated representative or counsel; and
g. Summation or statement by the charged faculty member or counsel;
h. Decision and vote in executive session by the Board of Regents;
   1. Exonerating faculty member, or
   2. Approving the President's recommendations to dismiss faculty member, or
   3. Other appropriate sanctions.

If the Board of Regents decides to apply sanctions, the President shall issue a formal letter of notification and shall advise the appropriate officials of the University.

B. Procedure for Termination Due to Financial Exigency

The Board of Regents has a paramount statutory duty to the people of Kentucky to maintain a quality educational program, but within the means of available financial resources as determined by the Council on Higher Education, the Governor, and the General Assembly. Accordingly, determination of the existence of financial exigency requiring economy measures is a prerogative reserved for the Board and will not be delegated.

However, the Board is fully aware of the fact that adjustments to the financial crisis that include lay-off or termination of tenured faculty members is a matter of gravity and requires deliberate and thoroughly considered balancing of the public and private interests. Misunderstandings and disputes in such situations tend to dissipate the purpose, spirit, and academic climate of the institution, and to increase costs in time and money. Therefore, the Board of Regents will exercise its prerogative to terminate tenured appointments because of financial exigency only under severe conditions, and after a
determination that alternative economy measures to maintain a quality educational program are not feasible under the prevailing circumstances.

Determination that a financial exigency exists of sufficient severity to require layoffs and terminations will be made by the Board upon the basis of a thorough analysis of institutional needs and requirements and available resources especially prepared by the President.

In making specific recommendations for termination of individual tenured faculty appointments required by financial exigency, the President shall take into account the following equitable considerations:

1. If funded vacancies exist, reasonable effort will be made to offer the tenured faculty member concerned another existing position within the institution for which the tenured faculty member is qualified by education and experience; and

2. In the event of the termination of a tenured faculty member, that faculty member will not be replaced:
   a. For a period of two years by another person of comparable qualifications at the same or higher salary without first offering reinstatement to the terminated tenured faculty member and allowing a reasonable time for acceptance;
   b. By another person at a reduced level of compensation without first offering the opportunity to continue at the reduced compensation to the tenured faculty member concerned and allowing a reasonable time for acceptance.

3. In the event of decisions to terminate faculty as a result of financial exigency, unless serious program distortion would result, tenured faculty members will have preference of retention over non-tenured faculty members. The following sequence will be observed:
   a. Tenured faculty of superior academic rank will have preference of retention over tenured faculty of lesser rank.
   b. A faculty member who had attained tenure prior to another faculty member of the same rank would have preference of retention over the latter faculty member.
   c. If tenure and rank considerations are the same for two faculty members, i.e., they both were tenured on the same date and were promoted to their current rank on the same date, the faculty member with the longer period of employment with Western would have retention preference.

The President shall send to each tenured faculty member recommended for termination because of financial exigency a written notice of the Board's initial decision to make such a termination. The notice shall include:

1. A statement of the basis for the initial decision to terminate tenured faculty members;
2. A description of the manner in which the decision to terminate this particular tenured faculty member was made; and
3. A statement that the tenured faculty member will be provided an opportunity to have the particular decision affecting the faculty member reconsidered by the President with the advice of the Advisory Committee on Faculty Continuance.

The President shall also provide for disclosure to each such tenured faculty member and to the Advisory Committee on Faculty Continuance information and data upon which the institution based its initial decision that financial exigency required termination of tenured faculty members.

A tenured faculty member who receives official notice of termination because of financial exigency may secure reconsideration of the decision by filing a request with the President within thirty (30) days after receipt of notice.

A request shall be in writing and state facts that, if proved, would show that, given the chain of decisions which preceded the ultimate decision designating that tenured faculty member by name for termination, the ultimate decision was nevertheless arbitrary, capricious, or unreasonable.

The President shall refer the request to the Advisory Committee on Faculty Continuance for its reasoned advice and recommendation. The Advisory Committee on Faculty Continuance shall proceed to consider the information furnished by the President to the tenured faculty member and provide the tenured faculty member an opportunity to furnish written information or statements tending to prove the accuracy and correctness of the facts stated in the case.

A genuine effort will be made to resolve the entire matter by informal methods of preliminary inquiry, consultation, discussion, and confidential mediation. No formal evidentiary hearing of an adversary nature will be conducted on such a complaint. If the difficulty is not resolved within three weeks, the Committee shall submit to the President a written report containing its advice and recommendation with a supporting statement of its specific reasons. After consideration of the report, the President shall make a recommendation to the Board.

C. Procedure for Termination or Lay-off Due to Changing Program Needs

As in the case of the determination of the existence of financial exigency, the Board of Regents is also aware that adjustments to program need changes require deliberate and thoughtful planning and discussion. Therefore, the Board of Regents will terminate tenured faculty appointments because of program need changes only after a determination that such changes are necessary and desirable.

In making specific recommendations for termination of individual tenured faculty appointments required by changing program needs, the President shall take into account the following considerations:

1. If funded vacancies exist, reasonable effort will be made to offer the tenured faculty member concerned another existing position within the institution for which the tenured faculty member is qualified by education and experience; and
2. In the event of the termination of a tenured faculty member, that faculty member will not be replaced;
a. For a period of two years by another person of comparable qualifications at the same or higher salary without first offering reinstatement to the terminated tenured faculty member and allowing a reasonable time for acceptance;
b. By another person at a reduced level of compensation without first having offered the opportunity to continue at the reduced compensation to the tenured faculty member concerned and allowing a reasonable time for acceptance.

3. In the event of decisions to terminate faculty as a result of changing program needs, unless serious program distortion would result, tenured faculty members will have preference of retention over non-tenured faculty members. The following sequence will be observed:
   a. Tenured faculty of superior academic rank would have preference of retention over tenured faculty of lesser rank.
   b. A faculty member who had attained tenure prior to another faculty member of the same rank would have preference of retention over the latter faculty member.
   c. If tenure and rank considerations are the same for two faculty members, i.e., they both were tenured on the same date and were promoted to their current rank on the same date, the faculty member with the longer period of employment with Western would have retention preference.

4. Tenured faculty shall be given notification of one year beyond the date on the face of the current contract.

The President shall send to each tenured faculty member recommended for termination because of program need changes notice of the Board’s decision to terminate. The notice shall include a statement that the tenured faculty member will be provided an opportunity to have the particular decision affecting the tenured faculty member reconsidered by the President with the advice of the Advisory Committee on Faculty Continuance.

The President shall also provide for disclosure to each such tenured faculty member and to the Advisory Committee on Faculty Continuance information and data upon which the institution based its initial decision that changed program needs required termination of tenured faculty members.

A tenured faculty member who receives official notice of termination because of changed program needs may secure reconsideration of the decision by filing a request with the President within thirty (30) days after receipt of notice.

The request shall be in writing and state facts that, if proved, would show that, given the chain of decisions which preceded the ultimate decision designating that tenured faculty member by name for termination, the ultimate decision was nevertheless arbitrary, capricious, or unreasonable.

The President shall refer the request to the Advisory Committee on Faculty Continuance for its reasoned advice and recommendation.
The Advisory Committee on Faculty Continuance shall proceed to consider the information furnished by the President to the tenured faculty member, and provide the tenured faculty member an opportunity to furnish it written information or statements tending to prove the accuracy and correctness of the facts stated in the request.

A genuine effort will be made to resolve the entire matter by informal methods of preliminary inquiry, consultation, discussion, and confidential mediation. No formal evidentiary hearing of an adversary nature will be conducted on such a request. If the difficulty is not resolved within three weeks, the Committee shall submit to the President a written report containing its advice and recommendation with a supporting statement of its specific reasons. After consideration of the report, the President shall make a recommendation to the Board.

OTHER FACULTY POLICIES

Sabbatical Leaves - University policy provides for the granting of sabbatical leaves for the purpose of professional improvement of the faculty. Such leaves are not automatic with tenure or the accumulation of years of service and are regulated by budgetary, legal and other considerations.

To be eligible for a sabbatical leave, a faculty member shall have the rank of assistant professor or above, shall have tenure, and shall have completed six continuous full academic years of service at the University. Normally, sabbatical leaves are granted for either one full semester at full pay or two semesters at one-half pay. Summer sabbaticals may be granted only with special approval in exceptional cases.

Applications for leaves must be submitted in writing during the fall semester of the academic year preceding the date the leave would begin by a date specified annually by the Office of Academic Affairs. The application must include a general outline of the applicant's proposed activities for the period of the leave, including some indication of their contribution to professional improvement, and must be endorsed by the department head.

Applications are forwarded to a College Sabbatical Review Committee composed of one representative elected from among the tenured faculty members of each department in the College. These committees will evaluate proposals and submit their recommendations as to the relative merits of the proposals to the respective college deans. Each dean shall then submit his/her recommendations to the Vice President for Academic Affairs for review. After consultation with the respective deans, the Vice President for Academic Affairs shall make recommendations to the President, who is responsible for final recommendations to the Board of Regents for official approval.

Any major modification of plans by a leave recipient must be approved by the College Sabbatical Review Committee. Faculty members with approved academic-year sabbaticals may not change to one-semester sabbaticals.

Faculty members holding administrative positions are eligible for sabbatical leaves, and a number of them proportionate to the number of eligible faculty members having no administrative duties receiving sabbaticals in any academic year may be recommended by the President to receive such leaves. The Council of Academic Deans serves as a
review committee for administrative applications prior to their submission to the President for consideration.

Within thirty (30) days after completion of the sabbatical leave, the faculty member shall submit a written report to the College Sabbatical Advisory Committee with copies to the Vice President for Academic Affairs and the appropriate dean and department head on the activities engaged in during the leave period.

**Leaves of Absence** - Leaves of absence may be granted to persons involved in special assignments or professional improvement programs, or engaging in additional study. Special consideration is given to applications from persons desiring leaves for work on advanced degrees. Each application for leave is considered on its individual merits.

**Clarification of Guidelines for Sabbatical and Paid Leaves** - Effective January 1, 1990, faculty and administrators on either a sabbatical or paid leave will return to the university for at least one academic year following the conclusion of the year in which the sabbatical or leave is taken. Those on a summer sabbatical must return for the academic year following the summer in which the leave is taken. Failure to comply obligates the individual to repay the university for the compensation received. This policy will prevail in all cases unless otherwise stipulated in the contract letter.

**Summer Fellowships** - Faculty members holding regular, full-time positions at Western are eligible to apply for fellowships for the summer term. Such fellowships are awarded on a competitive basis.

Proposals for the summer fellowships are considered once a year by the Faculty Research Committee and are to be submitted in the fall semester by a date specified annually by the Office of Academic Affairs. Awards will normally be announced by February 1. Fellowships may be renewable for a consecutive summer if deemed justified by the Faculty Research Committee.

Faculty members on leave status are not eligible to apply for a summer fellowship. For purpose of eligibility, faculty members returning from sabbatical leaves must complete two full years of service before applying. Summer fellowships are not to be used for preparing theses or dissertations to meet degree requirements.

Summer fellowships are granted in the amount of $4,000.

**Faculty Awards** - The University annually recognizes outstanding faculty achievement in the areas of teaching, research/creativity and public service. Each college selects an award winner in each area (University Libraries selects awardees in research/creativity and public service) and provides them with public recognition and a cash stipend. University-wide award winners are chosen from among the college awardees by a student/faculty/alumni committee chaired by the Vice President for Academic Affairs and receive an engraved silver bowl and cash stipend.
Optional Retirement Policy - Approved by the Board of Regents, October 26, 1989.

1. Faculty interested in participating in the Optional Retirement Program should make a written request to the head of the department, who will forward it with his/her recommendation to the dean of the college. The request and the recommendation of the dean is transmitted to the Vice President for Academic Affairs. The Vice President sends to the President those requests that are recommended for funding.

2. Under this program a faculty member may be offered the opportunity to teach a minimum of 6 and a maximum of 12 semester hours per year (as permitted by KTRS). For each credit hour taught, compensation shall be at a rate of three and one-eighth percent of his or her salary prior to participation in the modified program.* Faculty on Optional Retirement could be assigned other duties, such as supervision of student teachers or academic advising, if these assignments better serve the needs of the department and the university. Participants in the Optional Retirement Program are subject to an annual performance review of their teaching or related assignments, and annual increases in their salary would be based on that review.

3. Those accepted in the retirement program will be placed in a special tenured faculty category for a maximum period of five years. During this period the faculty member will receive, in addition to the aforementioned salary, appropriate staff benefits. After the special tenured faculty category period, the faculty member will be fully retired.

4. Faculty candidates for optional retirement should be given priority in receiving summer teaching assignments during the summer before the year of retirement.

The Board of Regents considers the requests recommended by the President. The best interest of the University, as related to its educational programs and mission, must be considered in the application of this policy.

Faculty Evaluation - Each faculty member is evaluated by the department head on the bases of effectiveness as a teacher; relationship with students and with colleagues; cooperation in departmental, college and university activities; research; public service; and continuing professional development. The department head forwards a recommendation relative to salary increment, promotion, and/or tenure to the college dean, who makes a similar evaluation and forwards his/her recommendation and the recommendation of the

*At such a rate the retiree could earn up to 37.5% (or 3-1/8 times 12 hours) of his or her total full-time salary.

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department head to the Vice President for Academic Affairs. The President receives a recommendation from the Vice President for Academic Affairs and forwards his/her own recommendation to the Board of Regents, which makes the final decision on such matters.

**Faculty and Staff Meetings** - Meetings of the faculty and staff are held periodically. These meetings are devoted to matters of professional interest, announcements, and business affairs of concern to the University. Called meetings are held as circumstances require. It is an assigned responsibility for each member of the faculty and staff to be present at these meetings.

**Graduate Faculty Selection** - All courses offered for graduate credit at Western Kentucky University must be taught by graduate faculty.

I. Requirements for Graduate Faculty appointment: Nominations and recommendations are based on evidence of teaching effectiveness, scholarly or creative achievement, and University and public service.

A. Teaching effectiveness: Department heads and deans recommending a candidate for Graduate Faculty membership will submit a written endorsement of the candidate's teaching effectiveness. Candidates may supplement this endorsement with such evidence as assessments routinely included in the process for promotion, tenure, and salary recommendations or student evaluation results. Membership is limited to demonstrably conscientious and effective teachers.

B. Scholarly and creative achievement: Productive scholarship or creative activity is a special requisite for Graduate Faculty membership. Appointees must have a record of consistent productivity in their academic areas and must have made contributions to their professional fields. Credentials of applicants will be examined for documented evidence of high-quality attainments such as relevant books and articles in respected journals and anthologies; papers read at professional meetings; artistic or performance achievements; or technical or non-print credits.

C. University and public service: Candidates for membership will be expected to show a history of involvement with campus committees and councils and/or service to the wider public where their professional training makes such service particularly appropriate.

II. Categories of Membership

A. Regular membership. To qualify for regular membership on the Graduate Faculty, a faculty member must:

1. hold an appropriate terminal degree in the teaching field;
2. hold the rank of associate professor or above;
3. have at least three years full-time teaching experience at the senior college or graduate level;
4. have a solid record of effective teaching, (I.A.);
5. present a record of high-quality scholarly and creative achievement, (I.B.);
6. have a history of acceptable University and public service, (I.C.);

B. Associate Membership. To qualify for associate membership on the Graduate Faculty, a faculty member must:
1. hold an appropriate terminal degree in the teaching field;
2. hold the rank of assistant professor or above;
3. have at least one year's full-time teaching experience at the senior college level or provide evidence of appropriate related experience;
4. show evidence of effective teaching (I.A.);
5. present evidence of high quality scholarly and creative achievements (I.B.);
6. be involved in University and public service, (I.C.).

Associate membership is limited to a maximum of two terms.

C. Adjunct membership. Individuals who do not have regular appointments to Western Kentucky University may be approved for Adjunct Membership on the Graduate Faculty. Candidates for appointment to Adjunct Membership must either meet the requirements for Associate or Regular Membership or present equally notable qualifications based on education and experience specific to the assignment. Appointees approved on the basis of professional experience must be recognized for their high-quality contributions to their field of expertise and must be able to share knowledge that reflects the viewpoint of the professional practitioner. Adjunct membership is for a specified term(s) or course(s) only.

III. Appointment Procedures. Recommendation is initiated by the department head with the concurrence of the graduate faculty of the department. The recommendation must then be approved by the college dean and graduate dean before being acted upon by the Graduate Council.

IV. Term of appointment: Regular membership appointments expire at the end of six years. Associate membership appointments expire at the end of four years. Adjunct membership appointments expire at the end of the term(s) or course(s), as specified in the appointment, or, at the latest, two years after appointment.

V. Requirements for reappointment: Requirements and procedures for reappointment include those for the original appointment. The candidate's record during the
previous term on the Graduate Faculty will be given primary consideration in deciding on reappointment. Candidates for reappointment as regular or associate should show evidence of involvement in graduate programs including teaching graduate classes, directing theses/specialist projects, and serving as major advisor and/or committee member for graduate students. Reappointment considerations for adjunct members will be based upon the candidate's academic record and/or the continued involvement and growth in the profession during the previous two-year period.

VI. Any graduate faculty appointment made other than as provided herein shall require written justification that such action will serve the best interest of the graduate program and shall follow the appointment procedure as stated in III.

Completion of Doctorate - Adjustments in salary are effective only twice a year for faculty completing a doctorate where it is a requirement for eligibility for tenure and promotion. It will be made only after unconditional certification has been provided to the Office of Academic Affairs. Appropriate documents are either a transcript indicating the degree has been awarded or an official letter from the graduate office of the doctoral-granting institution clearly stating that all requirements have been met and noting the date when the doctorate will be conferred. A minimum annual salary adjustment of $1,200 will be added to the salary base effective either July 1 or January 1. In cases where the degree is completed between January 1 and August 15, the adjustment will be made effective or retroactive to July 1. In cases where the degree is completed between August 16 and December 31, adjustment is made effective January 1.

Faculty Members Appointed to Doctoral Positions Prior to Completing the Doctoral Degree - Before a faculty member working on the doctorate is appointed by Western to a position requiring a doctorate, the faculty member's graduate advisor should send a letter to Western stating the faculty member's progress and the probable date of completion of the doctoral degree. If the faculty member is hired before completing the degree, the original contract should state that a review separate from the regular annual evaluation will be held during the fall semester of the second year at Western (if the faculty member is still employed at the time) to determine progress toward the completion of the degree. A final review concerning doctoral progress will be held during the fall semester of the third year. If the degree is not completed by the end of the third year, the faculty member will not be rehired for a doctoral position for the fourth year.

Guidelines on Faculty Load Responsibilities
1. Among the components of the total work load of the faculty member are classroom and laboratory instruction; scholarly activities including research and creative endeavors; student consultation and advising; assisting in the administration of the work of the department or college; service on departmental, college or University committees; representing the University in a service or consultative role to schools, governmental or outside agencies; and other duties
incidental to the above or as assigned by the head of the department, dean of the college, Vice President for Academic Affairs, or the President. The faculty member will participate in the evening (or Saturday or extension) instructional program(s) upon request of the department head.

2. The contract requires of the faculty member complete fulfillment of responsibilities to the academic objectives of the University, college, department, and discipline. Outside responsibilities or personal activities and interests must in no way conflict with the primary obligations of the faculty member to the University. Outside professional obligations such as paid consulting or similar contractual endeavors may be assumed only upon the approval of the department head, the dean of the college, the Vice President for Academic Affairs and, when necessary, the President. These activities should in no way interfere with the faculty member meeting his/her obligations to the University. Personal obligations which interfere with the faculty member's fulfilling total faculty responsibilities must be avoided unless provision is made in a special, less-than-full-time contract.

3. The University provides the faculty member with office space to facilitate meeting professional responsibilities. These responsibilities include participation in departmental and college business; consulting with, assisting, and advising students; and scholarly activities. The maintenance of office hours for these purposes is a professional responsibility and hours should be sufficient to fulfill the aforementioned obligations.

4. The University faculty member's normal teaching load is 12 hours per semester or 24 hours per academic year. A 12 hour teaching load represents approximately 75% of the total workload of the faculty member; with the remaining 25% devoted to research and service. Community College faculty members normally teach 15 hours per semester or 30 hours per academic year.

5. Graduate faculty members have teaching assignments of 18-24 hours per academic year. Those with full-time graduate instruction commitments have teaching assignments of 18-21 hours, whereas those with part-time graduate instruction commitments have teaching assignments of 18-24 hours. Within these ranges, teaching loads less than the respective maximums must be justified by productive research or creative activity equivalent to the load reduction involved. The graduate faculty member requesting a load adjustment must present to the department head a comprehensive written outline and statement of objectives for the research or creative activity on which the adjustment is to be based. The department head and college dean will assess the proposed project according to the specific criteria applied to scholarly and creative achievements. At the conclusion of the academic year in which a load adjustment has been granted, the faculty member must submit a full progress report to the department head and college dean. This report will be included as a part of the faculty member's annual review and will be taken into consideration when further load adjustments are under discussion.

6. Teaching load for laboratory courses and for special instructional programs in which semester hour equivalents are not applicable is computed according to an
approved formula established by the University after the circumstances of the particular course of study are evaluated. Factors taken into consideration are the supervision required of the instructor, the number of laboratory assistants available, the level of instruction, and similar factors. Twenty-four contact hours in laboratory-type classes constitute a full-time teaching load for a semester. Teaching load for the supervision of special readings, research and directed study courses may be assigned on the basis of one hour for each three students enrolled in a three credit hour course (9 student credit hours).

For the improvement of instruction and for the professional advancement of the faculty through research and service activities, special faculty assignments may be approved on a limited basis in accordance with the following guidelines:

a. In evaluating the justification for teaching load adjustments or assignment of special assistance as a means of instructional improvement, the department head and dean of the college may consider such factors as total student load, level of instruction, contact hours, number and complexity of course preparations, and other similar factors. Normally, a faculty member teaching nine semester hours would not be eligible for any additional load adjustment. The department head shall initiate and justify all recommendations for load reductions in this category which he/she submits to the dean of the college for approval.

b. The dean of the college shall carefully evaluate the impact of such assignments on the educational program and class schedule of the department. If it is determined that a direct budgetary allocation is necessary, the approval of the Vice President for Academic Affairs will be required.

c. Normally, requests for a special assignment for research or service activity are initiated by the faculty member, who is required to present to the department head a comprehensive outline and statement of objectives for the proposed project. At the conclusion of a semester during which a special assignment has been pursued, the faculty member shall submit a full progress report to the department head and the college dean. The college dean shall submit each semester a summary of these reports to the Vice President for Academic Affairs. For the guidance of the department head and the dean of the college the following factors are to be considered in addition to more specific merits of the research or service proposal:

   (1) The contribution that the activity will make to the professional career of the individual or to the educational mission of the University.

   (2) The potential for acquiring outside financial support for the project as a result of the special assignment.

   (3) The implication of the proposal as it may relate to the University community or to the service region and the patrons of the University.
(4) The usefulness of the project for teaching, including the involvement of students in an educational context.

d. To insure relative uniformity of the application of these guidelines, the following provisions shall apply to this category of faculty assignments:
   (1) Within a month after the conclusion of registration, all such assignments shall be verified to the Vice President for Academic Affairs by the dean of the college.
   (2) All special assignments for research and service activities shall be made on a tentative basis not later than two months prior to the registration date for the next semester. Such assignments may be finalized during the registration process. Preference shall be given to those projects which may be pursued during the semester of least enrollment for the particular department.

e. Special faculty assignments which involve an adjustment of teaching load for administrative responsibilities within a department or college fall in a separate category and must be approved in advance by the dean of the college and the Vice President for Academic Affairs.

8. Department heads normally teach twelve semester hours each year depending upon the size and complexity of the program and staff in the department. Special circumstances may justify deviation from this guideline, in which case the dean of the college should provide proper justification. Academic deans normally are expected to teach one class or perform the equivalent in other duties each semester. Associate and assistant deans teach from one to two classes each semester dependent upon the extent of their responsibilities.

Course Syllabi or Outlines - Course outlines are submitted to the Academic Council when new courses are approved and filed with the Vice President for Academic Affairs and the dean of the college concerned. The scope and content of multi-section courses taught by more than one instructor are expected to be coordinated by the department head to insure relative uniformity. Copies of current course syllabi are to be kept in the department office.

Field Trips - Fields trips which are listed as part of the course description in the University Bulletin Catalog are considered "regular field trips" and require only that the department head, the college dean, and the Dean of Student Affairs be notified and provided a list of students making the trip. Trips not listed as part of a catalog course description are "special field trips" and require approval through a "Request for Special Field Trip Approval" form. Copies of this approval form may be obtained from the departmental or college office.

It is important that each faculty member supervising any field trip ascertain that the trip constitutes an authorized University activity in accordance with the above paragraph. Participation in a non-authorized activity would expose the faculty member to the risk of personal legal liability.
Tests and Examinations - Testing and examining procedures are left largely to the individual faculty member. At the beginning of each course, the professor will inform each student in writing regarding the factors to be considered in determining grades and the specific weight to be assigned to each of the factors.

A schedule of final examinations is produced in the official class schedule bulletin at the beginning of each semester. All finals must be conducted at the periods scheduled unless special arrangements for deviation from the schedule have been made with the department head and approved by the dean of the college concerned.

Academic Advising - Faculty advisors are assigned to new students prior to the initial registration. Students who have chosen a major field of study are assisted by faculty advisors from the college and academic department that offers the major.

The Director of the University Academic Advising Center coordinates academic advising among undergraduate colleges and departments. In addition, the University Academic Advising Center provides academic advising for all students who have not decided on a specific major.

Advisors assist students in selecting courses each semester to fulfill general education requirements, pre-major requirements, and major and minor requirements for graduation.

Students desiring to change majors and/or change advisors should obtain an official change form in the University Academic Advising Center.

Students are expected to work with a faculty advisor in preparing an official "Undergraduate Degree Program" form to be submitted at the beginning of the junior year. Listed on the form are all courses "completed" and all courses "to be taken" to complete the course requirements for a baccalaureate degree.

Office Hours - Faculty members are expected to post class schedules and office hours. Faculty members have a responsibility to provide the department head and students each semester with their office hour schedules. Inability to meet classes or to maintain office hours should be reported to the department head.

Absence from Work - All faculty members are expected to meet their classes regularly and promptly at the scheduled time. The department head should be notified immediately of illness, death in the family, or other emergencies necessitating absence from the campus. Sick leave and annual leave are not provided for nine-month faculty appointments.

Smoking - In accordance with state fire and insurance regulations, it is a University policy that there be no smoking in classrooms, laboratories, elevators, and all other areas designated by no smoking signs. Department heads and all other faculty members are charged with the responsibility of enforcing this regulation in their respective areas.
FACULTY GRIEVANCE PROCEDURE

I. **Purpose** - To provide an individual faculty member with a procedure for presenting a grievance, without fear of reprisal, and having it considered in an expeditious and orderly process. The procedure is advisory and not adjudicatory.

II. **Definition of Grievance** - An allegation that there has been a violation, misinterpretation, or improper application of existing policies, rules, regulations, practices, and/or procedures or a complaint that a faculty member has been treated unfairly or inequitably or has been unreasonably hindered in the performance of his/her duties.

III. **Appeal Through Administrative Channels**

   A. Informal Review - Every effort should first be made to resolve the matter informally by conversation with the Department Head, Dean, or Vice President for Academic Affairs.

   B. Formal Grievance - If the matter cannot be resolved informally, the faculty member may file a formal grievance in writing with the Department Head within ninety days of the alleged violation. If the grievance cannot be resolved at the nearest administrative level, a faculty member may request review at successively higher administrative levels - College Dean and Vice President for Academic Affairs.

IV. **Appeal Through Advisory Committee on Faculty Grievance**

   A. Establishment of Committee - The Committee shall be drawn from the same pool chosen for the Advisory Committee on Faculty Continuance (see Faculty Handbook, 14th Edition, page 20). The Committee shall consist of five (5) tenured faculty members selected by the Rules Committee of the Academic Council by lot annually from a list of elected faculty members. A faculty member shall not participate in a case involving a faculty member from the same department; and a member chosen shall remove himself/herself either at the request of the party or on his/her own initiative, if he/she deems himself/herself disqualified because of bias or interest. Each party shall have a maximum of two (2) challenges with or without stated cause. The Committee shall select its own Chairperson.

   B. Procedures - When a faculty member has been unable to achieve satisfactory resolution of a formal grievance through administrative channels, he/she may request a review by the Advisory Committee on Faculty Grievance through the President. The request for a review must be submitted in writing, together with a statement of the grievance. Upon receipt of the grievance, the President shall have the Committee convene
through the procedures described above. The Committee will not review in this way matters for which other formal procedures have been specifically outlined in the Faculty Handbook. The Committee after a preliminary investigation, and upon a vote of a majority of its members, may rule that a particular grievance does not merit review by the Committee. If it determines that the grievance lies within the scope of the Committee, the Chairperson shall initiate a Committee review by notifying all appropriate parties of the review procedure to be followed. The Committee shall be empowered to request any and all parties to submit evidence related to the grievance. This review shall be completed within 45 days, excluding official holidays and vacations. At the conclusion of the review, the Committee will forward a written report of its findings to the President and to the faculty member. The written decision of the President shall be forwarded to the Chairperson of the Committee and to the faculty member. If the President does not accept all or part of the findings and recommendations of the Committee, he/she will include in the decision the reasons for not doing so. The decision of the President is final.

V. Annual Report - At the end of each academic year, the President shall provide a written report to the Board of Regents regarding the number and type of cases presented in the preceding year. The report shall include the Committee's recommendations for each case and its final disposition.

PROFESSIONAL RESPONSIBILITIES AND FUNCTIONS

Academic Freedom - The University subscribes to the following principles: (1) faculty members are entitled to freedom in the classroom in discussing their disciplines and in selecting teaching aids and library materials; (2) faculty members are entitled in their areas of specialization to freedom in research and investigation and in the publication of results; and (3) faculty members are entitled to freedom in participating as responsible citizens in community affairs.

The above statement is not to be interpreted as protective of an incompetent or negligent faculty member, nor does it prevent the University from evaluating the work of each faculty member. Faculty members should not introduce into their teaching controversial issues which have no relation to the subject matter. As representative of a learned profession and of the University, they should remember that the public may judge the profession and the University by their utterances and behavior. Therefore, they should strive at all times to be accurate, to exercise appropriate restraint, to show respect for the opinions of others, and to indicate that in voicing their personal opinions they do not represent the institution. Faculty members should recognize the right and responsibility of their departmental colleagues to review the selection of teaching materials to insure quality and uniformity of instruction and to insure that budgetary limitations are acknowledged.
Professional Growth - It is the policy of the University to encourage the continuous professional growth and development of its faculty members through additional graduate study, research, membership in professional organizations, and attendance at professional meetings and workshops. Requests for leaves of absence for continued study or professional improvement are carefully considered and have normally been approved when feasible. Persons with less than the generally recognized terminal degree in their area of specialization are encouraged to continue work toward that degree whenever possible. In general, the University expects the individual faculty member to take the initiative in identifying and meeting his/her own professional growth needs.

Faculty Development Funds - The University, through the Faculty Development Committee, makes limited monetary assistance available to full-time faculty. Funding, in variable amounts, is awarded on a competitive basis in two categories: Individual Developmental Funding and Unit Developmental Funding. As a general rule, funding provided during a fiscal year will not exceed $500 for an individual grant and $1,000 for a unit grant. The Faculty Development Committee meets monthly. Guidelines and application forms are available upon request in the Office of Academic Affairs.

Participation in Professional and Learned Societies - The University encourages faculty members to join and participate in the activities of professional organizations, associations, and societies. It is not the policy of the University, however, to allow departmental funds to be used for individual membership fees, dues, or other assessments of such groups.

Research and Publication - The University encourages faculty members to engage in research and to publish their scholarly efforts whenever possible. The individual faculty member is completely free to undertake scholarly investigations in his/her area of specialization. However, research for outside agencies and for pecuniary return must not interfere with regular University duties. Thus, the department head and the college dean will be informed of such activities. Limited funds for faculty research are available through the Faculty Research Committee, and the University encourages faculty to seek external research grants and contracts. The Office of Sponsored Programs is available to assist faculty in locating external funding sources. Support for research is also provided through the Office of Academic Computing and Research Services.

Faculty Research Grant Funds - To encourage participation in research and contributions to knowledge, the Faculty Research Committee administers University funds which have been made available for faculty research and development projects. Applications for these funds should conform to general guidelines available in the Office of the Vice President for Academic Affairs. Grants are awarded on a competitive basis in two categories: Regular Faculty Research Grants of variable amounts, awarded monthly; and Summer Fellowships in the amount of $4,000, awarded annually (see page 30).
President's Special Grant Fund - The President's Special Grant Fund is distributed at the discretion of the President to build academic quality and student leadership. Among the priorities which have been established for distributing these funds are: (1) to support the growth and development of faculty and staff in one of the areas of new technical and/or managerial skills and new instructional skills or methodologies, (2) to assist in the purchase of instructional equipment and materials, and (3) to support the enhancement of student life through special projects designed to promote student leadership. Specific guidelines and application procedures are available through the Offices of the President or Vice President for Academic Affairs.

Outside Employment and Consultation - Normally, the primary responsibilities of the faculty member include classroom teaching, student advisement, research and writing, work on faculty committees and similar duties. However, faculty members may undertake responsibilities above and beyond these duties with prior approval of the University. A standard University form is available for submission of requests for such approval. It is assumed that preparation for and involvement in such activities will not interfere with the faculty member's primary responsibility to the University and that care will be taken to insure proper fulfillment of these obligations. The following guidelines govern such additional workload activities.

Extra-University Consulting and Other Professional Activity - Institutions of higher education and their professional employees are obligated to encourage and assist with the transfer of knowledge from the University community to society in general. Activities such as those which are the subject of this policy are a primary means of accomplishing this goal. In addition, such activities provide the opportunity for individual professional development and enhancement of job satisfaction by those participating in them.

It is the purpose of this policy to establish as an integral part of the University program a means by which faculty and other personnel may participate in professional consulting and service activities while full-time employees of the University.

Approval to participate in such activities will be granted according to procedures outlined below, provided the purposes of the activity are clearly identified and are found to be consistent with this and other University policies.

Definitions. For the purpose of this policy, extra-University consulting and other professional activity shall include those professional services provided by an individual employee to an individual, agency, or firm for a salary or for a fee. Such activity will not normally involve the use of University material, equipment, or services; neither shall the name or image of the University be used in any manner to suggest institutional endorsement or support of a non-University enterprise. Requests for participation in outside professional assignments that do involve use of other University personnel, facilities, material, or equipment should be performed on a contractual basis with the University rather than on an individual consulting basis.
Excluded from this policy are outside summer consulting and employment activities by nine-month faculty members who have no summer term teaching responsibilities and who seek to participate in such activities during the period after spring commencement and prior to the beginning of the ensuing fall term.

Also excluded from this policy are those "occasional or incidental" professional activities which do not conflict with the spirit or intent of this policy and the procedures for implementing it. "Occasional or incidental" professional activities are one-time activities or services to organizations other than the University, such as participation on agency proposal review panels; site visit teams' voluntary services to professional organizations; delivery of occasional lectures or seminars at other institutions; office or telephone consultations of a brief duration or nature; reading and evaluation of manuscripts or writing reviews; and serving as an expert witness or rendering of professional opinions in depositions. Since consulting activities may be a component of faculty evaluation in the area of public service, it is the responsibility of the individual employee to report consulting activities to the administrative unit head regarding involvement in such occasional and incidental services.

**Procedures.** The variety of outside employment and consulting situations available to the professional and the potential of these activities to detract from the services contracted to the University require that each applicant and his or her superior examine carefully each opportunity on an individual basis.

Written approval to participate in activities covered by this policy will be provided when all of the following conditions are met:

1. The purposes of the activity contribute to and are consistent with those programs of the participant's department or unit.
2. Other normal University duties and responsibilities can be met without reassignment to others.
3. There is no conflict of interest involved.

To initiate the request for approval, the employee must complete the standard form designed for that purpose. The following information must be provided: the specific nature of the work to be performed and its relationship to ongoing University purposes; an estimate of the amount of time involved; the duration (and, if appropriate, the frequency) of the services to be provided (hours, days, or months); and the specific hours, days or months involved.

The request for prior approval shall be submitted for review to the participant's administrative unit head, who will subsequently forward it through channels with a recommendation to the Vice President. Such requests shall become a matter of University record maintained in the Office of the Vice President. That office shall review each request and the accompanying recommendations and approve them, provided they are consistent with the provisions of this and other University policies and related administrative procedures. The participant and those reviewing the request will be provided written notification of action by the Vice President.
Semiannually the Vice President shall report to the University President a summary and analysis of requests received including a list of those approved and disapproved.

When activities covered by this policy are of a continuous or prolonged nature (one semester or more) or when one person requests participation in more than one such activity during an academic term, careful consideration must be given to the proposed schedule of services as they relate to designated responsibilities of the University employee. Any long-term involvement is subject to periodic review by the University, and a request for approval must be filed at least annually (preferably at the start of each academic year). The frequency and duration of professional activities shall be the primary considerations in the review process.

Limitations. Individuals subject to this policy whose annual working appointment is for a period of 9 or 10 months are provided up to four (4) working days per full calendar month for participation in the activities covered by this policy during their annual appointment. For individuals holding a nine- or ten-month annual appointment who assume summer term responsibilities with the University, one additional day per full calendar week employed during the term of summer is available to participate in activities covered by this policy.

University personnel subject to this policy who receive annual appointments of 11 or 12 months are allowed up to four (4) working days in the calendar month to participate in the activities covered by this policy. Because of the importance of persons holding executive, administrative, and managerial positions to the daily operation of the University, these persons are urged to limit such activities to periods when the University is not in session and their services are less likely to be required.

Implementation and Interpretation. It is the intent of this policy to provide a framework within which decisions regarding the use and availability of University resources can be made. The employee-employer relationship that exists between the University and its duly appointed personnel also provides a basis for decisions regarding activities which are the subject of this policy. It is, therefore, the obligation of each person seeking to participate in such activities and his or her supervisors to share the responsibility for following the procedures outlined above.

Internal Consulting, Participation in Funded Projects, and Supplemental Pay - This policy establishes a means by which faculty and other professional staff may participate in intra-University consulting and service activities while a full-time employee of the University. Activities such as those which are the subject of this policy provide the opportunity for individual professional development of those participating in them and are strongly encouraged.

Policy. It is the policy of the University that incidental internal consulting is normally considered to be included in the base pay of faculty, professional nonfaculty, executive, administrative, and managerial personnel. Additional or supplemental compensation is allowable in those unusual cases when all of the following circumstances exist:
1. Services are performed in addition to those associated with the person's salaried employment.
2. Services are provided across departmental lines.
3. Prior approval of the University has been obtained.

The rate of compensation for intra-University consulting must be consistent with the fee or rate that normally would be paid to persons from outside the University with equivalent credentials who would provide the same services. In setting the rate of compensation, careful consideration must be given to possible sources of documentation that will indicate that the fee recommended for the University employee is not more than that charged by external consultants.

Procedures. All requests for advance approval of internal consulting must be submitted to the administrative unit head or director and forwarded to him or her through the appropriate dean or supervisor to the appropriate vice president. The President of the University will act upon the request after receiving the recommendations provided by the Vice President.

Supplementary pay for responsibilities accepted which relate to the program and operation of a departmental unit during the summer term is covered under other policies and procedures.

Except as cited above, all other supplementary pay, including that for participation in funded projects, shall be processed as a part of the regular payroll distribution system (including appropriate withholding and University contributions). For faculty members and others covered by this policy who participate in projects funded by a state, federal, or other external agency, prior approval of the University must be obtained through the established administrative channels.

When considering requests for involvement in activities for which supplementary pay will be provided, the faculty member and each administrator must carefully examine the extent of the involvement in view of other University responsibilities, extra-University consulting, and other professional activities. In the event that the total professional involvement of the participant will equal or exceed the normal University load by 25 percent over a period of any one semester, an adjustment in workload will be made or the request will be denied. In either event, a written justification will be forwarded to the President for final consideration. A record of action and justification will be placed in the University official files maintained by the Vice President for Academic Affairs.

Special Administrative Assignment. Faculty members whose primary responsibilities are for instruction, research and creative activities, public service, academic committee work, and student advisement are occasionally involved in extensive additional functions associated with the administration of funded projects. An adjustment in salary for those additional responsibilities will be made upon written request, subject to prior approval and in accordance with the following:
1. The supplementary pay rate shall be consistent with the extent and duration of the added responsibilities and the compensation received by others having similar University administrative assignment.

2. Should the extent of involvement in administrative functions be equivalent to more than a 25 percent assignment, an adjustment in the conditions of the appointment of the person involved will be made.

3. The appropriate administrative unit head or director will submit in writing a recommendation with supporting documentation through the regular administrative channels after conferring with the faculty member and the appropriate dean. This action requires complete administrative review and approval by the Board of Regents upon recommendation of the President.

Sponsored Research - A faculty member may engage in sponsored research activities in the field of specialization in addition to teaching responsibilities when such research activities, in the opinion of the department head and dean of the college, do not require so much time as to interfere with the primary assignment. An appropriate reduction of teaching load will be made when approved research requires more than one-fifth of the faculty member's time. Research activities should be related to the professional competency of the faculty member. Research which requires cooperation between a governmental agency or outside organization and the University must have the prior approval of the University administration and the agency or organization.

Directorate of Special Projects, Institutes, or Direct Involvement in Such Activities as Assistants, Internal Consultants, etc. - With prior approval of the University, a faculty member may engage in the above mentioned activities in addition to full-time faculty responsibilities when, as determined by the department head and the dean of the college, such involvement does not interfere with the primary assignment. An appropriate reduction of the teaching load will be made when such activities require more than one-fifth of the faculty member's time.

Administration of externally Funded Grants and Contracts - As a center of learning, Western Kentucky University encourages faculty members to engage in scholarly and service activities which are consistent with the University's educational mission and established programs. Whenever possible, such activities should complement the instructional program, and in all cases they must relate to the faculty member's area of professional expertise. Research and service activities which are funded through external grants and contracts require special prior approval by University officials to insure that there will be no conflict with regular assigned responsibilities of the faculty member to the students, the department, the college, or the University.

Participation in Funded Projects - Participation in funded research activity may be authorized by Western Kentucky University. Kentucky statutes state the following in relation to federal funding:
164.288 Power of State Universities and Colleges to Accept Federal Aid. Any of the state colleges or universities of Kentucky or the state on behalf of any of the colleges or universities may accept federal aid in the form of services, equipment, supplies, materials or funds by way of gift, grant or loan for the purpose of higher education including student loans. Any of the state colleges or universities acting through its president or its governing board is hereby authorized to receive such services, equipment, supplies, materials, and funds as are now available or may be made available.

The decision to participate in funded projects must take into consideration several factors. Existing demands for faculty time in the areas of teaching, research, and public service must be taken into consideration when seeking to secure outside funding for new programs. Care must be taken by the department head and the dean of each college to assure that participation in funded project activity does not detract from responsibilities to the student.

**Grants and Contracts Sought by Western Kentucky University** - Grants and contracts sought by the University include grants for the construction of academic facilities, for instructional equipment, for direct loans and grants to students, for program development and enrichment, and for support of basic and applied research. Cooperative relationships which show promise of developing programs of benefit to the public are encouraged. Before proposal activity is undertaken, projects should be discussed with the department head, the dean of the college, and Office of Sponsored Programs. Preliminary discussions by the faculty with the Office of Sponsored Programs are encouraged before submission of a proposal. These discussions should lead to the proposal's having the approval of the appropriate department head and the dean which must be gained prior to review of the proposal by the offices of the Vice President for Academic Affairs and the Office of the President.

**Grants, Gifts, and Contracts** - Research or project activity conducted by University faculty may be supported in whole or in part through resources or funds provided by donors in the form of research gifts, grants, or contracts. Preliminary negotiations and prospective contracts, with the prior knowledge of the department head and college dean, may be conducted by faculty members. However, all such program arrangements must have approval of the President or his/her designated representative, and must be coordinated through the Office of Sponsored Programs.

**Acceptance of Grants, Gifts, and Contracts** - The authority to accept a grant or gift as well as to enter into a contract, is vested in the President. The President or his designated representative signs all contracts on behalf of the University. Other University personnel may not commit the institution to grant requests or contracts.

**Budget Preparation for Project Activities** - The assistance of the Office of Sponsored Programs is available to the faculty for the preparation of budgets for project
activities. Before any budget is submitted, whether in preliminary or final form, the concurrence of the Vice President for Finance & Administration is secured by the Office of Sponsored Programs. Indirect cost rates are established by negotiations with agencies outside the University. The appropriate indirect cost rate must be used in the preparation of a budget. Indirect costs represent actual expenses of the University, and these funds may not be committed or obligated by the project directors. The designation of faculty members to participate in funded research or project activity must have the approval of the department head, college dean, and Vice President for Academic Affairs.

Conflict of Interest - Members of the faculty and staff, when undertaking or engaging in funded projects, must avoid possible conflicts of interest. Kentucky statutes state the following in relation to conflicts of interest:

164.390 Interest in Contract Prohibited. No president, professor, teacher, regent, member of the executive council or other officer or employee shall be interested in any contract or purchase for the building or repairing of any structure or furnishing any supplies for the use of a university or college.

University Responsibility - Western Kentucky University exercises its responsibility for the supervision and administration of all contracts in which it is engaged. Formulation of budgets and fiscal responsibility, as well as the preparation of appropriate reports, is the responsibility of the University. Specifically, the University exercises the following types of organizational and administrative action to provide for the proper administration of grants and contracts:

1. The establishment of accounting procedures to insure that funds from donors are expended in accordance with contractual obligations.
2. The establishment of procedures for the proper execution of contractual obligations in which the professional faculty participate.
3. The formulation of regulations governing university staff and faculty in the conduct of business relating to donated funds.
4. The provision of advice and guidance to the faculty regarding problems which may arise as a result of outside financial arrangements.

All funds received by the University from external agencies are handled in the same manner as, and are subject to the regulations applied to, general funds of the University. Grants, contracts, and project monies are in general more rigorously controlled than other University funds in that such funds are expended in accordance with the terms and conditions specified by the donor or contracting agency. Funds provided by a grant or contract may not be expended before or beyond the dates of the grant or contract. All funds received from outside the University are subject to both internal and external audit. Such funds may be expended only within the specified categories of the contract.

Travel Expenses - Grants, contracts, and project activity often require travel as a condition of the activity. Anticipated expenses for travel should be included as part of the
projected or approved budget. Regulations of the University and the Commonwealth governing travel apply equally to all grants, contracts, or project activity. For detailed information on travel and travel expenses, the Kentucky Standard Travel Regulations found in the University Personnel Manual should be consulted.

Other Policies Related to Grant or Contract Activities:

**Protection of Human Subjects** - The University has provided the National Institute of Health with an overall statement that certifies that: Western will maintain a Standing Committee to Review Research Protocols and in general oversee the conduct of Sponsored Research that involves Human Subjects. While this committee is formalized for only externally supported efforts, guidelines developed by the Public Health Service are considered appropriate for all University Sponsored Research. The Office of Sponsored Programs can provide copies of those guidelines.

**Animal Welfare** - The University has provided the Public Health Service with an overall certification that states: (a) Western will comply with PHS Regulations that relates to care and use of vertebrate animals in testing, research and training, (b) a standing committee will oversee the Research Protocols of Sponsored Research efforts, and (c) that the committee will insure the humane treatment and maintenance of laboratory animals. The Office of Sponsored Programs can provide assistance in obtaining information on Animal Welfare requirements.

**PATENT POLICY**

As a public institution of higher education, Western Kentucky University has broad responsibility in the areas of instruction, service, and research. Faculty engaging in research may make significant discoveries which have commercial application. Income resulting from patents is to be regulated in the public interest by procedures set forth in this policy.

**Scope of the Policy Statement** - This policy statement is defined to include any member of the faculty, staff, or student body of Western Kentucky University.

**General Policy** - An invention or patent which is the result of the use of staff, materials, equipment, time, or facilities shall be owned and controlled by Western Kentucky University.

**Patents and Research Sponsors** - Sponsors for research may wish to retain partial or total control of inventions and patents which are the result of the sponsored research. Unless agreed to in advance of the research, all patent rights from sponsored research shall be owned and controlled by Western Kentucky University.
Relationship of the Faculty, Staff, or Student Body and Western Kentucky University in Regard to Patents

1. Faculty, staff, or students having a joint interest with Western Kentucky University in an invention or discovery shall assign patent rights to Western Kentucky University.

2. Faculty, staff, or students of the University have the responsibility to report in writing to the Committee on Patents any invention or discovery of patentable value. Faculty, staff, or students are not obligated to apply for a patent unless such expenses are borne by Western Kentucky University. Faculty, staff, or students must agree to cooperate with Western Kentucky University in patent application procedures. Faculty, staff, or students may have an interest in a patent application and may share in the returns, as determined by the Committee on Patents.

3. Interest of the University in all cases involving invention or discovery shall be determined by the standing Committee on Patents appointed by the President of Western Kentucky University. Faculty, staff, or students engaged in patent deliberations shall be present or may be represented in discussions before the Committee on Patents. The decision of the Committee shall be final and shall determine the interest of the parties in the invention or discovery. The Committee on Patents shall act in accordance with the following general principles:
   a. If the Committee on Patents finds that an invention or discovery made by faculty, staff, or students was not related to employment by Western Kentucky University and was not the result of the use of staff, materials, equipment, time, or facilities owned or controlled by Western Kentucky University, Western Kentucky University shall have no interest in the invention or discovery.
   b. If the Committee on Patents determines that an invention or discovery is related to employment or the use of the resources of Western Kentucky University, patent rights shall be assigned to Western Kentucky University with the faculty, staff, or student member having an interest in the invention or discovery and sharing in the returns, as determined by the Committee on Patents.
   c. To determine the interest which the faculty, staff, or student shall have, the Committee on Patents shall consider whether Western Kentucky University paid, or did not pay, for time spent on the research which led to the invention or discovery. The Committee on Patents shall determine the extent to which University resources were used in research. The Committee on Patents shall determine the involvement in advice and assistance given to the inventor by associates of Western Kentucky University. The Committee on Patents shall determine the relationship which existed between the invention or discovery and the responsibilities of the faculty, staff, or student member.

4. Should Western Kentucky University not initiate a patent search within nine months or a patent application within eighteen months of the receipt of a written
report of an invention or discovery, the individual faculty, staff, or student member may apply for a patent and shall own all rights.

6. In case of sponsored research, the contract between Western Kentucky University and the sponsoring agency shall be binding on the faculty, staff, or student members engaged on the project the same as if each were a party to that agreement.
ACADEMIC INFORMATION

GENERAL INFORMATION

Registration - Students will register for courses on the days designated in the University Calendar for this purpose. Detailed instructions are printed in each term's schedule bulletin.

Scheduling of Classes - Most of the classes of the University meet on a 5-10 scheduling system, which means that classes meet five times every two weeks. The system works in the following manner: One week classes which meet on Monday and Wednesday will also meet on Friday. The next week classes which meet on Tuesday and Thursday will meet on Friday. This makes it possible to schedule classes at the same hour both on Monday and Wednesday and on Tuesday and Thursday, because the classes will meet at that time on alternating Fridays. This provides greater flexibility in the scheduling of classes. Because of the 5-10 scheduling system, classes meet for 60 minutes. Laboratories usually meet for longer periods.

Summer School Program - Six hours is considered a full teaching load for the summer. Faculty are reimbursed for teaching during the summer as follows:

- 3 hrs. - 7 1/2% of their base salary with a cap of $2,500
- 6 hrs. - 15% of their base salary with a cap of $5,000

Academic Functions - All faculty members are expected to participate in the formal convocations of the University and to wear academic regalia when appropriate.

Protection of University Personnel and Property - The University maintains a full-time security force of trained and experienced security and law enforcement officers under the direction of the Office of Public Safety. These officers are responsible for security of all University property and personnel on campus. The security office may be reached at 745-2548 on the University phone system. In emergency situations the security automobiles may be reached by radio through the Bowling Green City Police Headquarters.

Public Relations - The overall direction and supervision of public relations is the responsibility of the Office of University Relations, which is charged with informing the public concerning significant developments at the University and with gathering and channeling University news to press, radio, and television outlets. It is highly desirable that each faculty member keep the Office of University Relations informed of significant accomplishments and activities.

Extra-Curricular Duties - Most faculty members are expected to serve on University committees, act as faculty sponsors and advisors to student organizations, or
engage in other extra-curricular functions. Such activities are considered a vital contribution of the faculty member to the University community.

Class Rolls - Class rolls are made available by the Registrar's Office periodically throughout each term. The first official roll is made available by 7:00 a.m. on the first day of each term to the academic departments, who in turn distribute the rolls to faculty. Students whose names do not appear on the roll are not officially registered. If a student is attending class and the name is not on the class roll, it is extremely important that the instructor send the student to the Registrar's Office. A final class roll, issued just prior to the end of the term, is used for reporting final grades.

Grading - In the system of grading employed by the University, the letters A, B, C, D, F, and X are used by faculty members to indicate the achievement or status of students in their courses; in addition, the letters W, NR, and NG are used in certain specific circumstances. These letters have the following meanings:

A - Excellent, valued at four quality points for each semester hour
B - Good, valued at three quality points for each semester hour
C - Average, valued at two quality points for each semester hour
D - Below average, unsatisfactory, indicates deficiency, valued at one quality point for each semester hour, but gives credit for graduation provided that with such credits the student's overall scholastic standing is 2.0 or more.
F - Failure, valued at no semester hours completed and no quality points
X - Incomplete
W - Withdrew
NR - No report (A grade was not submitted by faculty member. Due to extenuating circumstances, the instructor was unable to submit final grades for the entire class. The designation "NR" is not to be used as a grade for individual students).
NG - Used for certain laboratory experiences and for maintaining matriculation during the thesis writing process.
P - Pass, Credit is awarded toward a degree, but no quality points are assigned.

Credit for a course in which a grade of "F" has been received can only be earned by repeating the course in residence at Western unless prior approval is given by the head of the department in which the course is taken.

A grade of X (incomplete) is given only when some relatively small amount of work is not completed because of illness or some other reason satisfactory to the instructor. A grade of X (incomplete) will automatically become an F unless removed within 12 weeks of the next full semester regardless of whether the student re-enrolls. The grade is not to be used under any circumstances as a substitute for F.

At the graduate or master's level, grades lower than C may not be used in meeting degree or non-degree program requirements. Except in the case of theses or specialist
projects, the grade of X (incomplete) becomes F on the student's transcript if the work is not completed within 12 weeks of the next full semester. Thereafter, the grade point average will include the F. In the case of theses (599) and specialist projects (699), a grade of X must be reported for each enrollment period prior to submission of the approved thesis or specialist project to the Graduate College after which the grade may be changed.

A student's grades become a part of the official record at the University and are treated confidentially. Except at the student's request, grades will be available only for faculty advisement or other professional uses.

**Grade Reporting** - It is the responsibility of each faculty member to assign and report a grade for each student who is enrolled in class by the deadline specified on the semester calendar. All grades are reported to the Registrar's Office on the final class roll and in accordance with instructions issued by the Registrar. Once a grade is reported it may be changed only by the teacher concerned with the approval of the department head and only in case of error in reporting. Such changes must be made on the official form provided and available in the Registrar's Office.

Grades will be recorded in the Registrar's Office as reported by the teachers in charge of the various courses. Students who drop a class within the period indicated for this purpose in the University Calendar will have no grade recorded. After the date on which students may withdraw from a class without a grade, they will be given W or F for the time during which they were in the class as reported by the instructor. In all cases, students withdrawing from classes must secure official permission. In the absence of an official withdrawal, a grade of F will be recorded regardless of the quality of work being done by the student at the time of withdrawal.

In accordance with the Family Educational Rights and Privacy Act, grades may not be publicly posted using the student's name, social security number or other personally identifiable information. Instructors who desire to publicly post final grades or grades for an assignment must use a system by which the student's unique identifier is known only to the student and the instructor.

**Grade Books** - Grade books are to be a part of the official class records of each teacher. It is a policy of the University that an accurate account be kept in this book of the attendance, grades, and other data of the teacher's choosing which will give an account of the progress of the student. Grade books should be turned in to the department head if work at the University is terminated. They may be filed with the department head for permanent keeping at any time.

**Informing Students of Grading Procedures** - At the beginning of each course, the professor will inform each student in writing of the factors to be considered in determining grades and the specific weight to be assigned to each of the factors.

**Student Records** - The Registrar's Office maintains a current record on each student's academic progress at the University. These records are confidential but are
accessible to faculty members for advisement or other professional purposes. A faculty member desiring to check a student's record should contact the Registrar's Office. Faculty members should be familiar with the Educational Rights and Privacy Act of 1974 and Western's guidelines (see Appendix).

**Student Assessment of Teaching** - During the fall semester the university administers a student assessment of teaching in each university course offered on- or off-campus. All faculty members participate in the assessments.

**University Counseling Services Center** - The University Counseling Services Center has a professionally trained staff to work with students experiencing educational, vocational, or personal-social problems. Faculty members are encouraged to identify and refer to the Center students in need of such help. The Center also administers a testing service for a wide range of standardized examinations.

**Printing and Copying Center Services** - A well-equipped print shop where bulletins, brochures, and various other official publications are printed is located in the Supply Services Building. The Print Shop has facilities to fold, collate, and bind publications. Five fast-copy centers are located on campus, one in Room 141 of the College of Education building, one in the Print Shop, one in Room 14 of Thompson Complex-Central Wing, one in Cherry Hall, and one in the Ivan Wilson Fine Arts Center. Funds for printing and copying are included in each department's budget and requests for this service should be submitted through the department head. Most departments and colleges have ditto and mimeograph machines which may be used by members of the faculty and staff.

**Professional Secretarial Services** - Academic departments are provided with professional secretaries, either on a full-time or part-time basis as the need justifies. The availability of the departmental secretary to perform work for individual faculty members will be determined by the department head.

**Part-Time Student Employees** - Each department head is allocated funds for the hiring of students through the various student aid and work-study programs. The number of students, their work schedules, and the allocation among the department members are left to the discretion of the department head. Individual faculty members desiring student assistance should contact their respective department head. Normally students cannot work in excess of 15 hours per week.

**Teaching Facilities and Classroom Supplies** - Each departmental budget includes an allocation of funds for classroom equipment and supplies. Requests for supplies, equipment, and repairs should be made through the department head. The planning for needed equipment and teaching aids takes place when the annual departmental budget is being prepared, usually in the spring of each year. All funds, regardless of their source, must be expended through the use of an official purchase order. The University is not
responsible for any purchase made by faculty or staff members without proper approval and issuance of an official purchase order.

**Office Facilities** - The University provides its faculty and staff with the most adequate offices and furniture available. Requests for additional office equipment, such as bookcases, file cabinets, etc., should be made through the department head.

**Campus Bookstore Facilities** - The University Bookstore is located in the Downing University Center and supplies textbooks and other instructional materials. Normally, textbook requests are submitted to the bookstore through the department head. The bookstore will also receive orders on textbooks and supplementary materials from faculty members. Upon presentation of their identification card, faculty and staff are granted a ten percent discount on materials purchased at the bookstore.

**ACADEMIC OFFENSES**

The maintenance of academic integrity is of fundamental importance to the University. Thus it should be clearly understood that acts of plagiarism or any other form of cheating will not be tolerated and that anyone committing such acts risks punishment of a serious nature. The University Disciplinary Committee holds hearings and recommends action in cases of alleged academic dishonesty. The Committee functions through the Dean of Student Affairs. Procedural guidelines are outlined in the current issue of *Hilltopics: A Handbook for University Life*.

**Academic Dishonesty** - It is the responsibility of each faculty member to maintain at all times conditions which discourage academic dishonesty in any form. Faculty should be careful to insure that class records and examinations are not accessible to those not entitled to such information and should make every effort to inspire in the student the proper attitude and respect for honesty in academic work. The Dean of Student Affairs is available for assistance in dealing with cases of dishonesty.

**Plagiarism** - To represent ideas or interpretations taken from another source as one's own is plagiarism. Plagiarism is a serious offense. The academic work of a student must be his or her own. One must give the author(s) credit for any source material used. To lift content directly from a source without giving credit is a flagrant act. To present a borrowed passage after having changed a few words, even if the source is referenced, is also plagiarism.

**Cheating** - No student shall receive or give assistance not authorized by the instructor in taking an examination or in the preparation of an essay, laboratory report, problem assignment, or other project which is submitted for purposes of grade determination.
Disposition of Offenses - Students who commit any act of academic dishonesty may receive from the instructor a failing grade in that portion of the course work in which the act is detected or a failing grade in the course without possibility of withdrawal. The faculty member may also present the case to the University Disciplinary Committee through the Office of the Dean of Student Life for disciplinary sanctions. A student who believes a faculty member has dealt unfairly with him/her in a course involving academic dishonesty may seek relief through the Student Complaint Procedure.

Other Types of Academic Dishonesty - Other types of academic offenses, such as the theft or sale of tests, should be reported to the Office of the Dean of Student Life for disciplinary action.

STUDENT COMPLAINT PROCEDURE

The four-step procedure for resolving a student's complaint concerning a faculty member is outlined below:

Step 1 (Faculty Member Level) - The first step is for the student to discuss the complaint with the faculty member involved. If the faculty member is no longer employed by the University, the student should go directly to the department head who will contact and represent the former faculty member. If the complaint involves a grade, the student must take the complaint to the faculty member within the first two weeks of the first regular semester (fall, spring) following the assignment of the grade. It is hoped that the complaint may be satisfactorily resolved at this level.

Step 2 (Departmental Level) - If the student and the faculty member are unable to resolve the complaint, the student may take the complaint to the faculty member's department head. It is the responsibility of the department head to arrange for a conference where the student, faculty member, and the department head will be present for discussion. Neither the faculty member nor the student will be allowed representation at the conference. The department head shall hear both sides of the complaint and shall attempt to mediate a settlement. The department head shall keep a written record of the proceedings, including the recommended solution. The department head's recommended solution is to be considered by both the faculty member and the student as a recommendation and not as a decision that is binding.

Step 3 (College Level) - Should the student be unable to receive the satisfaction desired at the departmental level, the complaint may be taken to the college level. Written notification of the complaint must be submitted to the college dean or dean's designated representative within two weeks after the conference with the department head (Step 2). Upon receipt of the notification, the college dean or the dean's representative shall provide the student copy of the procedural guidelines to be followed by the College Complaint
Committee. The procedural guidelines shall provide for a conference with both the student and the faculty member present for joint discussion of the complaint with the committee.

The student must submit a written complaint to the College Complaint Committee. The committee will be responsible for scheduling the conference within two weeks following the submission of the written complaint. The written complaint should clearly state what is considered to be unreasonable and/or unfair practices or procedures and may include as much detail as the student wishes to include. Neither the faculty member nor the student will be allowed representation at the conference. The College Complaint Committee shall hear both sides of the complaint and render a decision. The decision shall be sent in writing to the Vice President for Academic Affairs, with copies being sent as a matter of record to the student, to the faculty member, and to the faculty member's department head and college dean. The Office of the Vice President for Academic Affairs shall be responsible for enforcing the decision of the college committee but shall not enforce the decision until two weeks after the decision is made by the college committee, providing either the student or the faculty member an opportunity to submit a formal written notice of appeal to the University Complaint Committee.

Step 4 (University Level) - Should the student or the faculty member desire to appeal the decision of the College Complaint Committee, a formal written notice of appeal may be submitted within two weeks following the decision to the University Complaint Committee chairperson, with a copy to the Vice President for Academic Affairs. The chairperson of the University Complaint Committee will provide the student and the faculty member involved with a copy of the University Complaint Committee's Procedural Guidelines. The University Complaint Committee, after securing copies of the written proceedings from the department head and the College Complaint Committee, will schedule a conference where the faculty member and the student jointly discuss the issue. Neither the faculty member nor the student will be allowed representation at the conference. The committee's decision will be sent to the Vice President for Academic Affairs, with copies being sent as a matter of record to the student and faculty member and to the faculty member's department head and college dean. The Office of the Vice President for Academic Affairs will see that decisions of the University Complaint Committee are carried out. The University Complaint Committee's decision is final.

UNIVERSITY LIBRARIES

Western Kentucky University Libraries offer services through the main complex consisting of the Margie Helm Library and nine story Cravens tower located near the center of the campus, two branch libraries, the Kentucky Museum, extended campus library services and the Glasgow campus library.

Helm-Cravens Library houses the major portion of the WKU Libraries' collection. The Helm Library contains these specialized collections: 1) government services, consisting of government documents and the law collection on the ground floor; 2) the reference
area on the first floor; and 3) the periodicals and microforms collection on the second floor. The Cravens building houses administrative offices on the first floor, the circulation and reserves areas and the leisure collection on the fourth floor, and the circulating book collection on floors five through nine.

The two branch libraries include the Educational Resources Center located on the third floor of Tate C. Page Hall, and the Kentucky Library located on the second floor of the Kentucky Building. Also housed on the second floor of the Kentucky Building are the special collections, manuscripts and folklife archive collection.

The Kentucky Museum, located in the Kentucky Building, contains exhibits relating to Kentucky life and history. The Museum also sponsors workshops, lectures, receptions and exhibit openings throughout the year.

The Glasgow campus library, located on the WKU Glasgow campus, gives reference assistance to students at the Glasgow campus and assists them in requesting extended campus library service. WKU maintains a cooperative agreement with the Owensboro Community College Learning Resource Center and employs a part-time assistant to help WKU students.

Materials in the WKU Libraries may be located by using the TOPCAT online catalog. TOPCAT terminals are located in the main library complex, the Educational Resources Center, the Kentucky Library, and the Glasgow Campus Library. Assistance in finding and/or using library materials is available at the following locations: 1) reference services, first floor, Helm; 2) periodicals microforms desk, second floor, Helm; 3) circulation desk, fourth floor, Cravens; and at each branch library. The reference room, located on the first floor of Helm Library, provides the most concentrated collection of reference resources for students conducting research. Printed guides describing the many services and collections available in the WKU Libraries may be obtained at each service area or branch.

New Faculty Orientation

Each year early in the Fall semester, a library orientation session is offered for new faculty. All interested faculty members are welcome. Call 745-6168 for further information. At that time details of the following services are discussed.

CIRCULATION (Cravens 4th floor - phone 3951)
Faculty ID card is required to check out materials, and faculty have a semester loan period, except for leisure books and audiovisual materials. Materials may be renewed in person or by returning overdue notice to Circulation with request to renew. Hold, search, and recall services are available. Please return any recalled item immediately because borrowing privileges are automatically blocked by recall.
RESERVES (Cravens 4th floor - phone 6166)
Faculty may leave material and request form at Circulation desk; please allow a
3-5 days processing time. The limit is 50 books, 100 file folders per faculty
member. Reserve materials may be Room Use, overnight, 3-day, or 7-day loan,
and materials not being used should be removed at the end of each semester.
Copyright compliance must be maintained.

REQUEST LIBRARY MATERIALS
Library materials may be recommended for purchase through each department's
library liaison. Library faculty subject specialists will be happy to work with
faculty in obtaining needed resources for classes and/or research.

RESEARCH INSTRUCTION
Library faculty specializing in specific disciplines are available to provide research
instruction classes. To arrange a session for your class, please call 745-6115 or
745-6168.

FACULTY CARD PHOTOCOPYING
Use a departmental copy card (not WKU ID). One copier on Helm 2 is devoted
to card use.

DEPARTMENTAL PHOTOCOPYING (Cravens 4th floor - phone 3951)
Materials to be copied along with completed request form may be left at copy
window. Library student assistants will copy for later pick up or mail. Copies
will be charged to departments at $.06 per page. Service will comply with
copyright law.

INTERLIBRARY LOAN (Helm 107 - phone 6118)
For materials not owned by WKU, faculty may borrow from another library
through the ILL office. Please allow 2-4 weeks to receive material. "Article
Express" service will provide articles to be faxed directly from a commercial
vendor for journals we have cancelled or added recently.

EXTENDED CAMPUS
Faculty teaching at an extended campus site should be aware of the libraries'
extended campus services which consist of: a full-time Extended Campus
Librarian; a toll-free number for reference assistance (1-800-922-WKUL) and to
request books or articles; some combination of fax, courier, or mail service to
more than fifty teaching sites.

TECHNOLOGY AND TELECOMMUNICATIONS
The Information Technology areas support the University's missions through the
application of computing and telecommunications technologies. A part of Finance and
Administration, the principal areas are Academic Computing and Research Services (ACRS), Computer and Informational Services (CIS), Educational Television Service (including WKYU-TV), Media Services, Microcomputing Support Center, the Public Radio Service (WKYU-FM, WDCL-FM, WKPB-FM, AND WKUE-FM), and Telephone Communications.

**Academic Computing and Research Services**

The Academic Computing area provides support for instruction and research through the DEC VAX mainframe as well as seven general access student computer labs.

The Student Technology Center located on the second floor of the Helm Library is the principal service facility and provides student access to both computer and media resources. Microcomputers with popular applications programs and terminals providing access to the IBM mainframe and Digital Equipment Corporation VAX computers are located there and in seven other general access computing laboratories in locations throughout the campus. Faculty may place materials on reserve for student access. For more information call 745-2946. Operating hours approximate those of the library.

A wide variety of programming languages and programs support the majority of research projects. Highly specialized computing resources, including a super computer, are available through the Kentucky Educational Computing Network. INTERNET connections allow communications with hundreds of other colleges and universities.

While the principal responsibility for research design and data analysis rests with the individual researcher, consultation on design, statistical analysis, and computer use is available to students and faculty. Western's subscriptions to the Interuniversity Consortium for Political and Social Research and other data archives provide a rich source of research materials.

**Computer & Informational Services**

Administrative computing and University computer networking are supported through the Computer and Informational Services Area located on the third floor of Wetherby Administration Building. The office provides: information technologies and services for all administrative functions and University Libraries; state of the art data networking; implementation and maintenance of the University's administrative applications; and, the University-wide fiber optics based network.

The IBM mainframe computer, located on the third floor of the Wetherby Administration Building, is operated 24 hours a day seven days a week. Access to mainframe services is available through a number of terminals, and through personal computers connected to WKUNET, the University wide local area network. Remote dialup access is also provided.
WKUNET, operated and supported by CIS and the Microcomputing Support Center provides users easy WINDOWS based access to a comprehensive suite of services including electronic mail, calendaring, popular applications programs (Word Perfect, Lotus 1-2-3, Freelance Graphics, etc), INTERNET, WKU Libraries - TOPCAT, and mainframe applications.

**Educational Television Services**

Located in the Robert Cochran Wing of the Academic Complex, the Educational Television Service provides a variety of services in support of the University's missions.

The unit operates interactive television facilities linking WKU with the Owensboro, Fort Knox, and Glasgow extended campus classroom sites; provides satellite teleconference reception and origination; produces television programs for classroom instruction and statewide distribution on the KET network as well as for national distribution to public television stations; operates Western's own public television station -- WKYU-TV -- providing telecourses for credit as well as the only local public television service for south central Kentucky; provides television laboratory and instructional facilities for students in the University's Broadcasting and Communication program; and operates Western Cable which serves all residence hall rooms with educational and entertainment cable programming.

Educational Television Services productions have regularly been recognized by regional and national awards. WKYU-TV is the only Kentucky public television station licensed to a University, and one of only two local stations.

**Media Services**

Located in the center of the first floor of Tate C. Page Hall with regular operating hours of 8:00 am to 4:30 pm, Monday through Friday, Media Services provides a variety of instructional support services for faculty, staff, graduate assistants and students including media equipment, films, and videotapes for instructional use. Over 7,500 videotapes and 16mm films are available from the University/Third District Film-Video library. Media Services will provide catalogs of current holding upon request and assist faculty members in obtaining titles from other sources. A variety of photographic, graphic, and audio/video consultation, design and production service are also provided. A staff of student assistants is available during operating hours to provide assistance to users, and pickup and delivery services is available. For more information call 745-3754.

The Faculty Technology Center, located in Tate C. Page Hall is equipped with Macintosh and MSDOS computers for teachers' use in the production of instructional and professional materials. The services available within the Center include desktop publishing, basic graphic production (such as overhead transparencies), VHS video editing and photographic copying.
Public Radio Service

Western's Public Radio Service, through its four radio stations -- WKYU-FM, Bowling Green; WDCL-FM, Somerset; WKPB-FM, Henderson/Owensboro; and WKUE-FM, Elizabethtown provides the highest quality music, information, news and public affairs programs 24-hours per day to over sixty percent of the Commonwealth, plus extensive areas of north-central Tennessee and southern Indiana.

An important aspect of Western's Public Radio Service is the access it provides to develop and maintain awareness of the resources of Western Kentucky University. This awareness is developed through the participation of faculty, staff and students in special programs; through the involvement of special campus guests in programs; and through the regular reporting of news relevant to activities at the University.

This unit also operates the student radio station -- WWHR 91.7 MHz -- in conjunction with the Department of Communication and Broadcasting. WWHR serves as a laboratory for students pursuing a career in broadcasting and serves the student body with a college oriented music format.

Microcomputing Support Center

The Microcomputing Support Center provides comprehensive support of microcomputing for academic and administrative offices. A professional staff supports a range of services including analysis and recommendations for potential applications, training, installation and repair and consultation regarding specific applications and problems. The Center may be reached at 745-5382.

Telephone Communications Services

Western Kentucky University owns and operates its own telephone system serving approximately 4,800 lines. All faculty and staff offices have telephone services. Residence halls have one telephone jack per room, and the students furnish their own telephone instruments. Long distance service is provided for faculty, staff, and students through outside vendors. The telephone switch and administrative offices are located in Van Meter Hall. The office may be reached at 745-6370.

GRANT AND CONTRACT SERVICES

The basic function of the Office of Sponsored Programs is to develop the grant and contract program for Western Kentucky University. The Office of Sponsored Programs is part of the Academic Affairs area of the University.

The services provided are as follows:
1. Identification of funding sources for specific needs and programs;
2. Consultation on and guides in the development of grant and contract proposals;
3. Processing of proposals and contracts;
4. Dissemination of information to faculty and staff concerning grant sources, guidelines, and the administration of specific programs;
5. Maintenance of central grants record file;
6. Liaison with off-campus agencies;
7. Assistance with incidental costs associated with proposal development and publication of project results.

**EXTENDED CAMPUS PROGRAMS**

Extended campus offerings have become an integral part of the educational mission of Western Kentucky University. In 1978, the Council on Higher Education assigned Western Kentucky University the responsibility for an extended campus coordinating area. In the Council's 1989 guidelines, this area is referred to as the Designated Service Area (DSA). Western's DSA includes 27 counties and extends from the Ohio River to the Tennessee border and from the western boundaries of McLean, Muhlenberg, and Todd Counties to the eastern borders of Adair, Russell, and Clinton Counties. The DSA includes three extended campus centers, each having its own director and support staff. The offices are located in Owensboro, Elizabethtown/Ft. Knox, and Glasgow. The Extended Campus Centers are administered through the Academic Affairs Division of the university.

**CENTER FOR TEACHING AND LEARNING**

The purpose of the Center for Teaching and Learning (located on the first floor of Cravens Library) is to provide activities and opportunities which support and enhance individual excellence in classroom instruction. The Center's programs are available only to regular faculty of all ranks, part-time faculty, and graduate teaching assistants. Some of the resources offered include workshops and seminars, self-assessment, fliers, books and videos on instruction, and assistance in the design and production of instructional materials, such as transparencies. A variety of computer resources (Macs and PCs), including a scanner, laptops and clip-art are available.
PERSONNEL POLICIES AND SERVICES

SALARY PAYMENT PROCEDURES

Salary Checks - Faculty members employed on a nine-month's basis receive twelve salary checks, payable at the end of each month. The academic year runs from August 16 to May 15 with payments made July 1 to June 30. Salary checks are distributed through departmental offices. New faculty will receive their first check at the end of August and will receive 2/12 of their annual salary at that time.

Payroll Deductions - Mandatory payroll withholding includes federal income tax, state income tax, city occupational tax, county occupational tax (if applicable), Social Security, and retirement. Voluntary elections for medical insurance, United Way Fund contributions, group life insurance, tax sheltered annuities, U.S. Savings Bonds, cafeteria plan options, Preston Center memberships, direct deposits, WKU Foundation and College Heights Foundation contributions may be deducted.

FACULTY BENEFITS SUMMARY

MEDICAL INSURANCE - All members of the faculty who are employed on a full-time regular basis have the opportunity to select medical insurance coverage from Blue Cross and Blue Shield of Kentucky (comprehensive major medical plans), or Healthwise of Kentucky (health maintenance organization (HMO) plans).

(1) Blue Cross and Blue Shield of Kentucky offers three Option 2000 plans: A-2000, B-2000, and C-2000. Plan design is the same for all three plans, the only differences among the three are deductible, co-payment, and premium amounts.

(A) All Blue Cross and Blue Shield plans require the use of Option 2000 network hospitals. Substantial penalties are imposed for failure to comply with this restriction.

(B) The Blue Cross and Blue Shield plans all contain a human organ transplant (HOT) rider. This rider covers certain human organ transplants after an initial nine month waiting period.

(C) Faculty do not have a waiting period for enrollment. All faculty and dependents have a nine month waiting period for preexisting conditions.

(2) HealthWise of Kentucky offers two HMO options. The high option includes a prescription drug copayment; the low option does not.
Otherwise, the two options are identical. The HMO plans do not have deductibles. The covered person pays a copayment amount for each service and the HMO pays the rest.

(A) Both HealthWise plans require the use of network physicians and hospitals. Although you must select a network physician as a primary physician, you may select another primary physician at any time.

(B) Faculty do not have a waiting period for enrollment. There is no preexisting condition waiting period with the HMO plans.

(3) Other than COBRA qualifying events (marriage, birth, and other qualifying events as defined by federal law), changes in enrollments may only be made during the open enrollment period (usually November of each year) with the changes to become effective on January 1st of the following year.

(4) Premiums may be tax sheltered under the Flexible Benefits Plan (Section 125).

(5) Refer to the individual plan packets for detailed information concerning plan design and requirements.

GROUP LIFE INSURANCE - The University provides a $10,000 term life insurance policy for all full-time faculty. You may choose to purchase additional amounts of insurance, either the amount of your annual salary (rounded up to next $1000) or twice that amount. You may purchase one half of the amount of your combined coverage for your spouse (if he/she is not an University employee) up to a maximum of $10,000.

Premiums for faculty optional insurance can be tax sheltered. Premiums for spousal insurance cannot be tax sheltered. Group life insurance is term insurance, and there is no cash value or loan value. You may convert this policy to an individual whole life policy upon terminating your employment with the University. See Attachment 1 for premium amounts.

FLEXIBLE BENEFITS PLAN (SECTION 125) - Full time faculty may tax shelter certain insurance premiums and funds placed in dependent care accounts (up to $5,000 per year) and/or unreimbursed medical accounts (up to $3,000 per year). Refer to Personnel Policy 4-24 for more information.

RETIREMENT - Full time faculty are enrolled in the Kentucky Teachers' Retirement System (KTRS). Faculty contribute 6.16% of their monthly salary and the University pays 13.84%. You are vested after five years of service. Vesting also entitles you to membership in one of the retirement systems group medical insurance plans. The
normal retirement age is 60. You can retire with full benefits regardless of age after 27 years of service. The University retirement plan is not completely portable. Any premature withdrawal of your contribution to the retirement fund will result in substantial penalties (unless transferred to a recognized retirement fund). Your retirement income is determined by the following formula: Years of service X 2.0% X the average salary of your highest five salary years. The retirement system offers a number of payout options upon retirement. See Personnel Policies 4-36 and 4-38 for information on the KTRS program.

SOCIAL SECURITY - The University and staff contribute to the Social Security Program. There will be two deductions listed on your paystub for Social Security, "FICA" (pension) and "MQFE" (Medicare Health Insurance). Contact Payroll at 5352 for details concerning payroll withholding amounts.

TAX SHELTERED ANNUITIES - You may make voluntary, tax-sheltered contributions to a supplemental retirement program as defined by section 403(b) of the Internal Revenue Code. Human Resources maintains a listing of over twenty companies that provide this service. The supplemental retirement program is an individual contract between the employee and the servicing company. The University provides only payroll reduction and transmittal of payments to the contracted company. No investment advice or other account servicing is provided by University employees.

TUITION SCHOLARSHIPS - The University pays for up to two undergraduate courses or one graduate course per semester for each full-time faculty member. Your spouse is eligible for a 50% discount for the same number of courses. During the summer session, nine month faculty are entitled to enroll for up to three undergraduate or two graduate courses. See Personnel Policy 4-64 for details.

EMPLOYEE DEPENDENT CHILD GRANTS - The University will provide a grant for up to 50% of in-state tuition and fees for the dependent children of full-time faculty and retirees. The applicants must be full-time degree seeking students of Western Kentucky University and must maintain a "C" average while enrolled. See Personnel Policy 4-25 for details.

DIRECT DEPOSIT - You may have your pay deposited directly to any financial institution that participates in the Automated Clearing House (ACH) direct deposit system. You may have two direct deposit accounts, but the total of both accounts must equal 100% of your net pay.

DISABILITY - The University provides a Long Term Disability (LTD) policy at no cost to you. The policy has a 90 day exclusion period. On the 91st day, the policy will pay 60% of the first $1,000 of monthly salary and 40% of the remainder up to a maximum of $2,000 per month. The disability payment is offset by any other payments
you may be receiving (Social Security, Workers' Compensation, etc.) and is paid until age 65 or until you are no longer disabled.

**WORKERS' COMPENSATION** - Western faculty are covered by the University's Workers' Compensation policy. This policy provides for medical benefits and lost time payments for valid, on-the-job injuries.

**OTHER POLICIES, SERVICES AND BENEFITS**

**Official Travel** - Each department has budgeted funds for travel. Authorization for travel must be made by the department head before the trip is made. Travel expenses are usually borne by the individual, who is later reimbursed after filing an expense voucher. The University has a contract with a local travel agency through which travel reservations are made and tickets purchased for all official university travel. The faculty member lists the travel agency as second payee on the travel expense voucher. Department heads have copies of the Travel Regulations which are contained in the Personnel Manual.

**Identification Cards** - The University provides identification cards for all regular employees. The card is designed for use in the University Libraries, Business Office, University Book Store, cafeterias, recreational facilities, etc. Faculty and staff members should contact the University I.D. Center to have identification cards prepared.

**Service One Credit Union** - The University has an agreement with Service One Credit Union to provide on-campus banking services for students, faculty and staff. One may invest in regular share accounts, share certificates, money market certificates, and holiday club accounts. Interest-bearing share draft (checking) accounts are available to members as well as ATM cards which can be used state-wide. Loans are available for automobiles, boats, home improvement, personal items, educational expenses, etc. All accounts are **insured to $100,000** by the National Credit Union Association. For further information stop by the Credit Union offices located in the Garrett Conference Center or Campbell Lane. The main phone number is 745-2412.

**Dental Hygiene Services** - The Dental Hygiene Program of the Department of Allied Health and Human Services is an academic unit that provides preventive dental care for Western Kentucky University students, staff, faculty and their families at a very minimal cost. The services include: a complete dental examination, oral prophylaxis, fluorides, radiographs and sealants. For an appointment, call 745-2426.

**Student Health Service** - The Student Health Service provides outpatient facilities for students. The staff includes two physicians, nurses, a pharmacist, a health educator, and x-ray and medical technologists.

For faculty and staff, the limited services include first aid, allergy injections, and certain immunizations.
**Other Benefits** - Among other benefits available are:

Season tickets (maximum of two) to all home football, basketball, soccer, and baseball games at reduced (50%) rates.

Reduced rates for spouses of regular, full-time faculty and staff enrolling in evening and day classes. In addition, faculty and staff members may participate in the Tuition Scholarship Program. See the **Personnel Manual, Personnel Policy #4-64**, for details.

A ten percent discount in university cafeterias and on materials purchased at the College Heights Bookstore.

Use of recreational facilities in the Downing University Center.

Opportunity to purchase membership in the Preston Health and Fitness Center at special faculty rates.

**Use of University Stationery and Postage** - The use of official University stationery and of the mailing service is restricted to faculty members, officers, and departments carrying on officially recognized and authorized business of the University. Stationery and metered postage are provided for official correspondence only.

**Building Security** - Faculty and staff members are urged to use the same rules of good judgment to insure security of keys to University buildings and to individual offices that would be used for one's own home or other personal property.

A key may be obtained by a request to the department head, who in turn submits a written request (form available from Facilities Management) to the Assistant Director of Facilities Management. If employment at the University terminates, or a faculty member is away on leave of absence, keys must be returned to the Physical Plant building.

**Housing** - The University has a limited number of rental housing units available to the faculty. Interested faculty members should direct their inquiries to the Director of Housing. These facilities are designed primarily to provide the new faculty member with desirable living quarters for a limited period of time in order to permit sufficient opportunity to fully appraise living conditions and more conveniently make permanent arrangements. Faculty members may find assistance in locating apartments, houses, or rooms by consulting the Director of Housing. Deans of the colleges and department heads will be happy to assist new staff members in finding suitable living quarters.

**Food Services** - The Marriott Corporation has a contract with the university to provide cafeteria and other food services. The faculty and staff are cordially invited to use these facilities. A full line of vending services supplements the above facilities and can be found in convenient locations for use by the students, faculty, and staff.
MISCELLANEOUS INFORMATION

Cultural and Recreational Opportunities - The following items will give some idea of the great variety of activities available to Western faculty and staff.

The Department of Music sponsors a number of musical presentations including special seasonal concerts. In addition, many faculty and student recitals are given throughout the year.

The Department of Theatre and Dance and the Western Players present a series of programs during the academic year. Summer Dinner Theatre programs are also scheduled during the summer sessions. A small fee is charged for admission to major productions; however, there is no admission charge for one-act plays produced by the department.

The Downing University Center Theatre provides films for the enjoyment of Western students, faculty, staff, and their families. A nominal fee is charged.

The University Gallery in the Ivan Wilson Center for Fine Arts presents a variety of historical and contemporary exhibits.

The University library facilities, as well as the Bowling Green Public Library, are available for recreational reading.

Western holds membership in the Sun Belt Conference and the National Collegiate Athletic Association. The schedule of intercollegiate athletic contests includes a variety of sports. Season tickets for basketball, football, and baseball are available to the faculty and staff at a reduced rate.

A number of lakes and reservoirs are within driving distance of Bowling Green, and fishing and boating are popular activities for many faculty members.

Institutional Publications - In addition to this handbook for faculty the University has a number of other publications which will prove informative and helpful.

The Western Kentucky University Catalog Issue is the most complete publication on the University and its operations. Normally published biennially, the University Catalog Issue contains descriptions of the various degree programs, curricula and course offerings of the University, requirements for graduation, rules and regulations, course descriptions and listings of faculty. All faculty members should familiarize themselves with this publication.

The Graduate College Issue contains descriptions of the graduate programs, curricula and course offerings, regulations of Graduate Studies & Research, course descriptions, and listings of graduate faculty. All graduate faculty and students should familiarize themselves with this publication.

The College Heights Herald and the yearbook, The Talisman, are campus publications issued under the supervision of the faculty and staff in the Office of Student Publications. In 1925 the Board of Regents authorized the establishment of the College Heights Herald and, since that time, the Herald and The Talisman have provided
laboratory experiences in journalism for students interested in developing skills and responsibilities in the practical application of the established standards of professional journalism.

Class Schedule Bulletins are published through the Academic Affairs Division for each semester and the summer term. This bulletin contains the University calendar, course offerings, and all other data pertaining to registration and class scheduling for the specific term.

On Campus is prepared and distributed biweekly by the Office of University Relations. The Office of University Relations also collects and records information from each office and department on campus which is kept in a master datebook and is available as an informational reference to any member of the faculty or staff in order to avoid conflicts and to coordinate the use of University facilities. All available information is distributed at the beginning of each semester for use as a guide in long-range planning.

A Campus Tour Guide is published by the Office of University Relations and includes a campus map which is available for distribution to prospective students and workshop groups. Other literature available from the Office of University Relations provides information and pictures about campus facilities and University activities.

Zephyrus is a fine arts magazine affording students of Western Kentucky University the opportunity to have their creative work published.

The Student Honors Research Bulletin, published annually by the University Honors Program, includes as many as 20 articles (four at each level, freshman through graduate) chosen from among papers written by students and submitted through the college deans' offices.

Retired Personnel - The University values the continued support and assistance of those who have retired from teaching, research, administrative, and staff positions. Upon retirement under the existing University retirement system, University personnel are entitled to the following benefits: a University identification card, library privileges, computing services, a parking permit, use of University recreational facilities upon presentation of identification, any dental and outpatient medical services which are available to other faculty members, purchase of tickets to academic and athletic events at the prevailing faculty rate, and enrollment in University classes under the faculty-staff scholarship plan.

Retired faculty are also eligible to apply for research grants, may upon request be allocated office space when it is available, may attend without voting privileges meetings of the Faculty Senate and the Academic Council, may participate in academic processions, may be appointed to represent the University at academic ceremonies at other universities, may take part in all ceremonial functions of the University, and are eligible to have their names included in faculty lists in University Bulletins.

Retired personnel are entitled to additional benefits from affiliated organizations including purchases at the University Bookstore at the prevailing prices for faculty and staff and the continuation of membership in the Service One Credit Union, Inc.

Faculty Lounges - Faculty lounge areas are available in most of the classroom buildings. The Faculty House, located near Cherry Hall, provides facilities for fellowship and recreation for faculty members and their spouses.
Parking Facilities - Parking for faculty members is provided in certain areas on campus which are designated for faculty and staff parking only. Some of the available spaces in these lots are reserved and some are available on a first come-first served basis. Official faculty and staff parking permit decals authorize use of faculty/staff parking lots as well as other University parking areas, regardless of their designation. These decals are available through the Office of Public Safety upon payment of a registration fee. Faculty/Staff permits allow free parking in the Parking Structure during athletic events.

Mail Service - A contract station of the U.S. Post Office is located on the ground floor of the Downing University Center. Faculty members may rent private mail boxes or may use the campus mail service which is provided for each department. Campus mail service may be used for official University mailing without postage attached. The College Heights Post Office operates on the following schedule during the regular terms: 8:30 a.m. - 4:00 p.m. Monday through Friday. Outgoing mail leaves the post office two times daily, at 2:30 p.m. and 3:30 p.m. During holiday and vacation periods, a special schedule is followed. Faculty and staff members are notified of the hours the post office is open during these holiday and vacation periods. All postal services offered by the downtown post office (stamps, money orders, insured and registered mail, c.o.d., and special deliveries) are available at the campus post office.

The University provides a Campus Mail Service to aid in the internal administrative efficiency of the University. This service, which provides for the delivery of written communications that pertain to recognized and authorized official University business, may be used only by members of the University faculty, the administrative staff, the Associated Students organization, and other organizations budgeted by the University.
Western Kentucky University Organizational Chart

Board of Regents

President

University Counsel

Director of Athletics

Internal Auditor

Affirmative Action

VP for Finance and Administration

VP for Academic Affairs

VP for Student Affairs

VP for Institutional Advancement
Western Kentucky University Organizational Chart
Approved by the Board of Regents Jan. 27, 1993
Western Kentucky University Organizational Chart
Approved by the Board of Regents Jan. 27, 1993

VP for Student Affairs

- Admissions
- Student Financial Assistance
- Public Safety
- Counseling Services Center
- Student Health Service
- Career Services Center
- Student Life

- Wellness Program
- Minority Student Support Services
- Intramural and Recreational Sports
- Residence Life
- Student Activities and University Centers
CHARTER OF THE ACADEMIC COUNCIL
WESTERN KENTUCKY UNIVERSITY

I. NAME OF THE ORGANIZATION

The name of this organization shall be the Academic Council of Western Kentucky University.

II. PURPOSE OF THE ORGANIZATION

The Academic Council, comprised of representatives from the faculty, student body, and administration, is the principal agency for curriculum review and control and for the determination of degree requirements, standards of scholastic achievement, and rules governing faculty-student relations.

III. FUNCTIONS OF THE ACADEMIC COUNCIL

A. To recommend to the President through the Vice President for Academic Affairs academic policies pertaining to the curriculum and to scholastic regulations.

B. To review all proposals relative to the curriculum of the University forwarded to it by the duly established Curriculum Committees.

C. To initiate studies and policies pertaining to the curriculum, to scholastic regulations, or to other matters referred to the Council by the President, the Vice President for Academic Affairs, or the Council of Academic Deans.

D. To refer to the duly constituted academic committees, to the Council of Academic Deans, or to special sub-committees of the Council assignments relative to academic affairs within the purview of Council authority.

E. To recommend to the President through the Vice President for Academic Affairs the addition of new majors, minors, or degree programs at the undergraduate or graduate levels.

IV. COMPOSITION OF THE ACADEMIC COUNCIL

A. Ex-officio Membership (voting):

The Deans of the Colleges
The Dean of Graduate Studies and Research
The President of the Student Government Association
A staff representative from the Office of Academic Affairs to be named by the Vice President for Academic Affairs
The Registrar
The Director of the Community College
B. Elective Membership

Elected Faculty Representatives and Alternates (voting)

The Academic Council has a base number of 40 elected faculty representatives and an equal number of alternate representatives. The representation for each college and for the University Libraries and Telecommunications areas shall be based upon a ratio of that college/unit's faculty to the total faculty, with the representation being proportional and the total number of representatives being 40 or as close as possible to that base number. To maintain this proportional representation, the Rules Committee shall calculate anew during the fall semester of each odd-numbered calendar year the number of elected faculty representatives and alternates to which each college/unit is entitled.

Elected Student Representatives (voting):

One elected student representative each from the Colleges of Arts, Humanities and Social Sciences; Business Administration; Education and Behavioral Sciences; Science, Technology, and Health; and one from Graduate Studies and Research.

Elected Student Alternates

One elected student alternate representative each from the Colleges of Arts, Humanities and Social Sciences; Business Administration; Education and Behavioral Sciences; Science, Technology and Health; and one from Graduate Studies and Research.

C. Advisory Membership (nonvoting)

Dean of Libraries
Assistant Vice President for Technology and Telecommunications
Director of the University Academic Advising Center

D. Changes in Membership

The Academic Council may propose to the President through the Vice President for Academic Affairs revisions in the distribution, number and qualifications of its membership.

E. Replacement of the Chair

After the election for the new Chair has been held, the alternate from the chair's college who received the highest number of votes in the last
election shall be added to the Council membership for a one-year term. Both the Chair and the "replacement" shall be considered regular members of the Council.

V. QUALIFICATIONS AND TERM OF OFFICE OF ELECTIVE MEMBERSHIP ON ACADEMIC COUNCIL

A. Faculty

1. Membership Qualifications: Full-time ranked faculty members of academic departments and the Community College, including those with administrative assignments, who have completed two years of service at Western are eligible for membership on the Academic Council.

2. Term of Membership: The term of membership shall be two years with one-half of the faculty membership rotating each year. A faculty member may be elected for two terms, consecutively. Thereafter, one year must elapse before that faculty member is again eligible for membership.

B. Student

1. Membership Qualifications: Any undergraduate student who has earned a minimum of 60 semester hours, has a minimum grade point average of 2.75, has at least one semester of residence at Western and has declared a first major/area of concentration in a department of the college to be represented is eligible for membership on the Academic Council. Any graduate student in good standing is eligible for membership on the Academic Council as the student representative of students in Graduate Studies and Research.

2. Term of Membership: The term of membership shall be one year. Student members may succeed themselves for one additional year.

C. Vacancy in an Office

If an elected representative is unable to complete the term of office, the elected alternate with the highest vote for that unit will serve the remainder of the term.

VI. OFFICERS OF THE ACADEMIC COUNCIL

The Council shall have a chair, vice-chair, secretary, recorder, and parliamentarian.

VII. COMMITTEES OF THE ACADEMIC COUNCIL

The Council shall establish a Rules Committee and other standing committees to have initial jurisdiction over the various functions authorized to the Council by the Board of Regents.
VIII. AMENDMENT OF THE CHARTER OF THE ACADEMIC COUNCIL

The Academic Council may recommend amendments to the Charter to the President through the Vice President for Academic Affairs. Final approval for amendments to the Charter requires action by the Board of Regents upon recommendation of the President.

RULES AND PROCEDURES OF THE ACADEMIC COUNCIL

I. ORGANIZATION

A. Chair: The Chair of the Academic Council shall be elected on a yearly basis from the elected faculty representatives of the Council. This election shall be conducted by a special caucus of the elected faculty representatives for the next academic year, convened at the regularly scheduled April meeting. The Chair presides at meetings of the Council and is responsible for seeing that the agenda are prepared and that the minutes of the Council meetings are properly kept. For assistance with these duties, the Chair shall appoint a secretary, a recorder, and a parliamentarian. The Chair may create ad hoc committees and shall be the Chair of the Rules Committee.

B. Vice-Chair: The Vice-Chair shall be elected on a yearly basis from the elected faculty representatives of the Council. This election shall be held immediately following the election of the Chair. The Vice-Chair shall assist the Chair in the preparation of the agenda and in the conduct of the business of the Council. The Vice-Chair shall preside at Council meetings in the Chair's absence and shall serve as Vice-Chair of the Rules Committee. The Vice-Chair may be delegated other responsibilities by the Chair.

C. Secretary, Recorder, and Parliamentarian: From the Faculty of the University, a secretary and a parliamentarian shall be appointed by the Chair. A recorder shall be appointed by the Chair from the faculty or staff of the University. The Secretary, Recorder, and Parliamentarian are voting members of the Council only if they are appointed from the elected or ex-officio membership of the Council. The Secretary, assisted by the Recorder, shall be responsible for keeping the minutes of the Council, for preparing the agenda of the meetings, and for distributing notices of all meetings to the membership and to the media as required by law. The Parliamentarian shall be responsible for advising the Chair on questions of parliamentary procedure which may arise.

D. Standing Committees

1. Rules Committee

The Council Chair and Vice-Chair shall be the Chair and Vice Chair of the Rules Committee. The functions of the Rules Committee shall be:
a. to supervise elections for vacancies on the Council and to conduct such other elections as necessary.

b. to recommend to the Council the time and place of regular meetings.

c. to consider suggested changes in the Charter and Rules and Procedures and to make recommendations to the Council.

d. to review the Charter and Rules and Procedures and to make recommendations to the Council.

e. to conduct a review of the proportional representation of the elected faculty representatives by unit and to make recommendations to the Council.


g. to advise the Chair on other matters related to the operation of the Council.

2. General Education Committee

The functions of the General Education Committee shall be:

a. to develop and review general education guidelines and course criteria, to review courses, and to make recommendations to the Council.

b. to consider courses proposed for general education and to make recommendations to the Council.

3. Academic Requirements and Regulations Committee

The functions of the Academic Requirements and Regulations Committee shall be:

a. to review undergraduate degree and graduation requirements, excluding the functions assigned to the General Education Committee, and to make recommendations to the Council.

b. to review scholastic policies and regulations and the interpretation of policies and regulations as they apply generally to the University and to make recommendations to the Council.

4. Membership of Standing Committees

At the April Council meeting, one or two individuals shall be elected from each faculty unit's elected representatives by the unit caucus for the purpose of serving on each standing committee for the upcoming year. The
student caucus shall elect to each standing committee one or two student elected representatives. Alternates are not eligible to serve on standing committees except when they replace elected representatives for a semester or longer. The Chair shall appoint two advisory members to the General Education Committee, two advisory members to the Academic Requirements and Regulations Committee, and one advisory member to the Rules Committee. The Chair and Vice-Chair shall be members of the Rules Committee and shall serve as Chair and Vice-Chair of that Committee. The Chairs of the other standing committees are to be elected for the coming year at the conclusion of the April Council meeting by members of the respective committees.

5. Reports and Recommendation of Standing Committees

Standing committees of the Council shall make reports to the Council as necessary and shall file annual reports with the Secretary of the Council. Standing committees of the Council shall make recommendations to the Council on those matters which have received favorable committee action. An individual member or groups of members of the Committee, in attendance at the committee meeting when the vote is taken, may file a minority report. That report shall accompany the committee report in the material sent to Council members for consideration.

6. Rules of Standing Committees

a. Meetings - Standing committees shall meet at least once each month during the academic year. Special meetings may be called by the committee chair upon the request of a majority of the committee members.

b. Quorum - A quorum shall consist of a simple majority of voting members of the committee.

c. Voting requirements - A simple majority of the quorum is required for a legal vote.

d. Other rules - Each standing committee shall adopt such other rules as necessary for the conduct of business so long as such rules are not in violation of the Charter or Rules and Procedures of the Academic Council. In the absence of specific rules, Sturgis Standard Code of Parliamentary Procedure shall be the authority.

E. Categories of Membership

1. Ex-Officio Members - Ex-officio members or their designated representatives are entitled to full participation in the organization.
2. Elected Representatives - Elected representatives are entitled to full participation in the organization.

3. Elected Alternates - An elected alternate shall function in the place of an elected representative for the same unit when the elected representative is unable to attend a Council meeting. When an elected representative cannot attend a meeting, that member shall secure a replacement from the unit alternates and the selected alternate shall be responsible for notifying the secretary of the Council of this action.

II. ELECTIONS

A. Faculty representatives and alternates

1. An election shall be held each year. Since the term of membership for faculty representatives is two years, approximately one-half the total number of faculty representatives shall be elected each year. The total number of alternates shall be elected each year, however, in order to give alternates the opportunity to be elected as representatives for the year following their service in the capacity of alternate representatives.

2. Eight weeks prior to the end of the spring semester the chair of the Academic Council shall notify department heads of the impending election. By Friday of the seventh week, each department will caucus, choose three nominees, and transmit those names to the chair of the Academic Council for inclusion on the ballot. In order to guarantee an adequate pool, departments in the College of Education and Behavioral Sciences will each choose four nominees. Eligible persons must hold faculty rank and have at least two years of service at Western Kentucky University. Those completing four consecutive years of service on the Council must skip a year before becoming eligible again. Nominees will be chosen by plurality on a secret ballot. The list for each unit shall be reviewed by the Rules Committee to insure the eligibility of those nominated. If any nominees are found to be ineligible, the chair of the committee shall so inform the head of the appropriate department. The department may then submit replacement names by a date specified by the Rules Committee.

3. The Rules Committee will prepare separate ballots with the appropriate instructions for each college. The departments of the college and the nominees within each department shall be listed in alphabetical order.

4. Ballots shall be sent by campus mail during the sixth week prior to the end of the spring semester. In the event that a faculty member does not receive a ballot, that faculty member can obtain a ballot through the Secretary of the Academic Council by certifying that a ballot was not received through campus mail.
5. All faculty members and administrators with academic rank in a unit shall be eligible to vote in that unit, and voting shall be by secret ballot.

6. Each eligible voter shall be permitted to vote for a maximum of two persons from any one department and for a maximum total number of persons equal to the number of vacant representative offices. A plurality of legal ballots cast shall constitute election. The Rules Committee will resolve all ties by lot.

7. The number of alternates to be selected shall be equal to the total number of representative members for each unit. After all representative offices are filled, the remaining alternate vacancies shall be filled by the individuals not elected as representatives who received the highest vote totals.

8. Ballots shall be cast at the appropriate college or area polling locations by the date and hour determined by the Rules Committee and specified on the ballot.

9. The college deans, the dean of Graduate Studies and Research, the dean of libraries, the director of the Community College, and the assistant vice president for technology and telecommunications shall be notified of their responsibility to assist in the collection of the ballots and in the supervision of the ballot boxes. Alternate balloting locations may be established by the Rules Committee if proper supervision of the ballot boxes is ensured (e.g., a second ballot box for the Ogden College could be placed with the ballot box for the College of Education).

10. The members of the Rules Committee representing an individual college or area will be responsible for collecting and tallying the ballots for that college or area. The Rules Committee shall meet within 24 hours of the close of the balloting to certify the election results and to resolve any problem.

B. Student representatives and alternates

1. Prior to the end of each spring semester, the Student Government Association shall conduct an election to select the student representatives and alternates for the next year.

2. The Student Government Association shall obtain a list of all students eligible to vote. This list must indicate each student's declared major.

3. To be eligible for election, a student must file with the Student Government Association and be certified as eligible by the Secretary of the Council. The deadline for filing for candidacy shall be two weeks prior to the date of election.
4. Balloting shall be by secret ballot.

5. To be eligible to vote for a candidate for representative of a particular college, the student must have declared a first major/area of concentration in that college.

6. A simple majority of legal votes cast shall constitute election. In the event that no candidate receives a simple majority, a vote to attain such a majority shall be taken between the two candidates receiving the highest number of votes on the previous ballot.

7. Within 24 hours of the close of the balloting, the election results shall be certified in writing to the Chair of the Council.

III. MEETINGS

A. Schedule - Normally, the Council meets at 3:30 p.m. on the fourth Thursday of each month during the academic year and at 2:00 p.m. on the fourth Wednesday of June and July during the summer session. The Council does not normally meet in May and August. The Rules Committee shall determine the place of meetings and may alter the meeting date when it is in conflict with University holidays. Special meetings may be called by the Chair as the volume of Council business dictates. Meetings of the Academic Council are conducted in accordance with the requirements of the Kentucky Open Meeting Law. (KRS 61.805-6.901).

B. Quorum - A quorum shall consist of a simple majority of the voting membership of the Council.

C. Voting Requirements

1. An affirmative vote of a majority of the quorum of the Council shall be required for passage of any measure. In the case of an election, a simple majority of legal votes cast shall constitute election. In the event that no candidate receives a simple majority, a vote to attain such a majority shall be taken between the two candidates receiving the highest number of votes on the previous ballot.

2. The Council will normally vote by voice or by the raising of hands. However, any member of the Council may request a vote by secret ballot or by any other method of voting and that request shall be granted. A request for a secret ballot shall take precedence over all other requests for methods of voting.

D. Agenda and Minutes - The agenda for a Council meeting and the minutes of the previous meeting shall be prepared by the Chair with the assistance of the Vice-Chair, Secretary, and Recorder. The agenda and the minutes
of the previous meeting shall be distributed to Council members a reasonable time prior to the meeting.

E. **Visitors** - Visitors shall be seated apart from the membership of the Council.

F. **First and Second Readings** - Procedural matters brought before the Council require only one reading. Substantive matters brought before the Council require two readings.


IV. **AMENDMENTS TO RULES AND PROCEDURES**

The Rules and Procedures of the Council may be amended by majority vote of the quorum.

December 15, 1994
FACULTY SENATE CONSTITUTION
WESTERN KENTUCKY UNIVERSITY

Preamble

The Faculty Senate at Western Kentucky University is an elected body of representatives from the faculty whose functions are to provide a forum for the concerns and interests of the University-wide faculty community, to furnish advice and recommendations with reference to policies that pertain to the faculty, and to make available to the University the expertise of the faculty on appropriate matters.

I. FUNCTIONS OF THE FACULTY SENATE

The Faculty Senate functions as an official representative voice of the faculty on any University policies which the President may refer to it for consideration and opinion, or which it determines should be brought to the attention of the President, or to the Board of Regents through the President.

It makes recommendations to the Academic Council on academic policies and programs.

It may, upon request, or upon its own initiative furnish advice and recommendations on policies and procedures, such as those relating to:

A. Criteria for recruitment, appointments, reappointments, promotions, granting of tenure, evaluation of work effectiveness, and recognition of outstanding faculty performance in instruction, research, creative activity, and service.

B. Salary, workload, working conditions, summer teaching employment, patent policy, copyright policy, awarding of University research grants, and recognition and publication of scholarly or creative work.

C. Retirement programs, insurance plans, sick leave, and other business issues which concern the faculty.

D. Planning and maintenance of physical facilities when these may affect the attainment of the educational objectives of the University.

E. Faculty responsibilities, privileges, grievances, sabbatical leaves, leaves of absence, travel expenses for professional conventions and programs, off-campus instruction and service, consulting, and academic freedom.

F. Long range planning of institutional goals and priorities as related to the functions of the Senate.

The Faculty Senate may advise the Board of Regents, in the event of a vacancy or an announced impending vacancy of the Office of President, on
qualifications for the Office of President and the policies concerning faculty involvement in the filling of the Office.

II. COORDINATION OF THE ACADEMIC COUNCIL AND THE FACULTY SENATE

Each body is dominant in its stated functions and it is the duty of each to report its recommendations to the President and to the Board of Regents through the President.

III. ORGANIZATION

A. Composition

1. The term "faculty" for the purposes herein is defined as persons in the full-time employ of the University who hold faculty rank, excluding visiting or adjunct professors, and who satisfy at least three-fourths of their contractual obligation in teaching, research, public service, and/or other non-administrative assignments.

   The term "college" as used herein is defined as the undergraduate colleges and the area of Academic Services.

2. The Faculty Senate shall be composed of members elected by and from the faculty, with the President of the University and the Vice President for Academic Affairs or designated alternates serving as ex-officio, non-voting members. The Faculty Regent, unless already an elected member of the Senate, shall be an ex-officio, non-voting member of the Senate.

3. Each department is entitled to one senator who shall be elected by secret ballot by the faculty of that department; each college may also be entitled to at-large senators. The total number of senators (departmental senators plus at-large senators) to which each college is entitled is that number which will make up a delegation equal to 10 percent (rounded to the nearest whole number) of the college's total faculty as previously defined. The at-large representation of each college therefore may vary, and the number shall be determined and adjusted in accordance with the number of qualified faculty members included on the official university roster of faculty, supplied by the Office of Academic Affairs, as of November 1 of the academic year during which the elections occur. No department shall have more than one at-large senator until all departments in the college have at least one senator serving in an at-large capacity.

4. Term of Office: Each elected member shall serve for a term of two years and shall be eligible for reelection for a second consecutive term but ineligible for further reelection until one year has elapsed. Elections
to fill vacancies shall be for the unexpired term. Fractions of terms of less than one year served in fulfilling an unexpired term shall not prevent the individual from being elected for two successive terms following that term.

B. Officers

1. The Faculty Senate shall have a chair, vice-chair, secretary-treasurer, and parliamentarian.

2. The officers of the Faculty Senate shall serve in their respective positions for a period of one year, or until successors are elected. They shall be eligible for reelection.

3. The terms of the chair, vice-chair, secretary-treasurer, and parliamentarian shall begin with their election at the regular spring meeting of the new Faculty Senate.

4. The constitutional officers of the Senate may be removed for cause, following the guidelines established in Sturgis' current edition.

5. The vice-chair shall have the responsibility of monitoring accepted senate resolutions and making periodic reports on the resolutions' progress to the Executive Committee and to the faculty in the Newsletter.

C. Elections

1. Elections for the first Faculty Senate shall be conducted by the Faculty Affairs Committee of the Academic Council at such dates as may be appropriate for the first election. All subsequent elections of new members of the Faculty Senate shall be conducted under the supervision of the By-Laws, Amendments and Elections Committee.

2. Voting members of the Faculty Senate are to be elected during February and March and shall be chosen as follows:

   a. Departmental elections: During the month of February the faculty in each eligible department shall elect by secret ballot one representative to the Faculty Senate.

   b. At-Large elections: During the first week in February the By-Laws, Amendments and Elections Committee will inform each college in writing of the number of at-large senators to which the college is entitled. Each of the aforementioned colleges shall elect at-large senators during the month of March by secret ballot. Each eligible voter shall be permitted to vote for a maximum number of two persons from any one department and for a
maximum total number of persons equal to one and one-half times the number of open at-large positions with any fraction rounded up to the next whole number. Those who receive the three highest number of votes, including ties, in each eligible department shall then be listed on a second ballot. Those who receive the highest numbers of votes on the second ballot shall then be declared elected, with the runners-up designated as a pool from which replacements will come in the event of vacancies.

3. Elections of Officers, the Executive Committee, and the Standing Committees

a. Election of Committees: During the week following the election of the at-large senators (exclusive of vacations), the current member of the By-Laws, Amendments and Elections Committee from each college shall call a caucus of the senators from that college who will be serving during the forthcoming year, together with the out-going senators from that college.

The purpose of this caucus is three-fold:

i. The current members of the Senate shall provide the newly-elected members with a brief orientation to the Faculty Senate.

ii. The current members of the Senate shall provide a description of the duties and responsibilities of each of the standing committees.

iii. The senators who will be serving during the forthcoming year shall elect from their number one senator to serve on each of the standing committees, on which there is a vacancy, with the exception of the Executive Committee, commencing with the spring meeting of the new Faculty Senate. Senators thus elected shall serve for the remainder of their current Senate terms unless elected chair or vice-chair of the senate or to the Executive Committee. In that event, the chair, with the concurrence of the Executive Committee, may appoint a member to that committee.

b. Election of the Officers of the Faculty Senate: At the spring meeting of the new Faculty Senate, the senators who will be serving during the forthcoming year shall elect by secret ballot one from their number to serve as chair of the Faculty Senate, one to serve as vice-chair, one to serve as secretary/treasurer, and one to serve as parliamentarian. Election to office shall be by a majority of those present and voting.
c. Elections of Committee Chairpersons: At the same spring meeting of the new Faculty Senate, each of the standing committees which will be serving during the forthcoming year shall caucus and elect a chair from its membership.

4. Vacancies in the Senate

a. Departmental vacancies in the Faculty Senate occurring during the academic year shall be filled by elections within three weeks of the vacancy. Departmental vacancies occurring during the summer term shall be filled by new election within three weeks of the beginning of the next fall semester.

b. At-large vacancies shall be filled by the individual receiving the next highest vote in the at-large election of the college in which the vacancy occurred. In the event no individual on the ballot is eligible under the provisions of Article III A 3, a special election shall be held in that college.

c. Committee vacancies shall be filled by the chair with the concurrence of the Executive Committee.

D. Meetings and Rules of Procedure

1. The Faculty Senate shall meet once a month during the school year unless the frequency of meetings is changed by a vote of the Senate. The date, time, and place of the meetings are to be determined by the Executive Committee.

2. No regular meeting of the Faculty Senate shall be held unless an agenda prepared by the Executive Committee is distributed to all members of the Senate at least four school days prior to the meeting.

3. Special meetings may be called by the chair, with the concurrence of the majority of the voting members of the Executive Committee. Such meetings must also be called by the chair upon written request of at least ten (10) members of the Faculty Senate.

4. The Executive Committee shall appoint a temporary chair should neither the chair nor the vice-chair be able to attend any Faculty Senate meeting.

5. A quorum for the Faculty Senate shall be a majority of the voting membership of the Senate. Business conducted up to the point that an absence of quorum is established and announced by the chair is assumed to be conducted with a quorum present.
6. Any departmental senator who is unable to attend a meeting of the Senate may designate a substitute from that department. Any at-large senator unable to attend may designate a substitute from that college. Such a substitute shall have the full rights and privileges of elected senators during that meeting.

7. The Faculty Senate shall adopt rules for the conduct of its business. In the absence of any special rules of order which the Senate may adopt, Sturgis Standard Code of Parliamentary Procedure, the most recent edition, shall govern the conduct of the meetings.

8. Members of the Senate committees may be removed for cause, following the guidelines in Sturgis, current edition.

E. Committees

1. Executive Committee

The Executive Committee shall be composed of the chair of the Faculty Senate and one senator from each college. The vice-chair, the secretary, and the parliamentarian shall sit ex-officio and non-voting. The chair of the Senate shall preside and have voting privileges.

The term of the elected members of the Executive Committee shall commence with their election and shall be for one year or until successors are elected. A quorum for the Executive Committee shall be four of the six voting members of the committee.

It shall be the responsibility of the Executive Committee to perform functions assigned to it by the Faculty Senate. It shall function as liaison between the Senate and the administration and between the Senate and the Rules Committee of the Academic Council. Its recommendations shall be recorded in its minutes and reported to the Senate at the next regular meeting. It shall be the responsibility of this committee to nominate members of the University community to University committees when instructed to do so by the chair of the Faculty Senate at the request of the President of the University. It may create special and ad hoc committees and determine the composition of all committees subject to the approval of the Senate. It shall refer to the appropriate Senate committee for study such matters as are designated by the Faculty Senate. The written reports of the committees to the Senate shall be submitted to the chair of the Faculty Senate. It shall insure that elections of the Senate are carried out as specified by the Constitution.
2. By-Laws, Amendments, and Elections Committee

It shall be the responsibility of this committee to supervise nominations and elections. It shall study and, when appropriate, make recommendations concerning Senate rules and by-laws, proposed amendments, and procedural changes.

3. Faculty Status and Welfare Committee

It shall be the responsibility of this committee to study and, when appropriate, make recommendations to the Faculty Senate on policies, criteria, and procedures for faculty appointments, recruitment of faculty, reappointments, promotions, and granting tenure.

It shall study and, when appropriate, make recommendations to the Faculty Senate on policies and procedures concerning salary, faculty work load, working conditions, and summer teaching employment. It shall also furnish advice on policies and procedures relating to retirement programs, insurance plans, sick leave, and other subject areas that are relevant to faculty welfare.

It shall study and, when appropriate, make recommendations to the Faculty Senate on policies and procedures concerning sabbatical leaves, leaves of absence, professional travel expenses, off-campus teaching and service, consultant activities, and academic freedom and academic due process.

4. Professional Responsibilities and Concerns Committee

It shall be the responsibility of this committee to study and, when appropriate, make recommendations to the Faculty Senate on the policies and procedures for the consideration of faculty grievances.

It shall study and, when appropriate, make recommendations to the Faculty Senate on policies, criteria, and procedures for faculty evaluation and the recognition of outstanding performance in teaching and University service.

It shall study and, when appropriate, make recommendations on policies and procedures relating to patents and copyrights, University research grants, and recognition of scholarly and creative activity.

It shall study and, when appropriate, make recommendations to the Faculty Senate concerning the responsibilities and obligations of the faculty person in his/her role as scholar and teacher.

It shall also study and, when appropriate, make recommendations to the Faculty Senate relating to the long-range planning process,
including institutional goals and objectives, program related physical facilities, and policies relating to the instructional support areas.

5. Fiscal Affairs Committee

It shall be the responsibility of this committee to study and, when appropriate, make recommendations to the Faculty Senate on institutional policies, procedures, and guidelines related to resources allocation, the financial impact of proposed program additions or changes, and institutional response to financial exigencies.

6. Academic Affairs Committee

It shall be the prerogative of this committee to study and, when appropriate, make recommendations to the Faculty Senate on academic policies and programs under consideration by the Academic Council. Upon recommendation of the committee, the Faculty Senate may initiate action on academic policies which it thinks should be considered by the Academic Council. This committee shall coordinate its efforts and activities with the Fiscal Affairs Committee where academic policies and decisions have financial and budgetary consequences.

7. Committee on Senate Communications

It shall be the responsibility of this committee to produce and distribute the Faculty Senate Newsletter to the university community and to prepare other communiques of informative nature at the request of the chair of the Faculty Senate.

The Faculty Senate, through this committee, may publish the Faculty Senate Newsletter. This shall serve as the primary medium of information about the activities, debates, policies, and politics of, and in, the Senate. It may also provide a forum in which the entire faculty can present and debate ideas and concepts regarding all aspects of academic life.

The Faculty Senate Newsletter shall be operated in accordance with the standards and norms of the public print media.

The Communications Committee, in production of the Faculty Senate Newsletter, is responsible to the Faculty Senate as a whole and must be responsive to the wishes of the Faculty Senate as expressed by majority vote.
IV. Senate Action

The Faculty Senate acts directly or through its committees. Formal communications containing advice and recommendations of the Senate on institutional policies are addressed from the chair of the Senate to the President or office or body designated by the President, or through the President to the Board of Regents.

The Faculty Senate may also address communications to a member of the faculty or the faculty in general, making suggestions or recommendations, giving advice, furnishing information, or communicating otherwise for whatever purposes the Senate deems appropriate.

V. By-Laws

General by-laws governing the operation of the Faculty Senate shall be adopted by a majority vote of the actual membership of the Senate.

VI. Amendments

An amendment may be proposed by the Faculty Senate by a two-thirds majority of those voting, provided it was included in the agenda and was available to the members of the Faculty Senate at least two weeks before the vote is taken.

An amendment becomes operative upon being approved by the Board of Regents.

By-laws will be adopted to determine how amendments will be submitted.

VII. Ratification

The Faculty Senate shall be established and this constitution shall be adopted upon approval of the Board of Regents.
BY-LAWS

BY-LAW I. Proposed by-laws shall be submitted in writing to the By-Laws, Amendments, and Elections Committee at least two weeks prior to a regularly scheduled Senate meeting.

BY-LAW II. Amendments. A proposed amendment to the Faculty Senate Constitution must be submitted in writing to the By-Laws, Amendments, and Elections Committee. The By-Laws, Amendments, and Elections Committee shall forward the proposal, together with committee recommendations, to the Executive Committee for placement on the agenda of the next meeting of the Faculty Senate.

If disapproved by a majority of the voting members of the By-Laws, Amendments, and Elections Committee, the proposed amendment shall, upon written request of at least ten (10) members of the Faculty Senate, be submitted to the membership in the manner specified by Constitution, Article VI.

BY-LAW III. Alternates. A senator requesting a replacement may petition the By-Laws, Amendments, and Elections Committee for a temporary alternate to serve for a period of no fewer than four (4) regularly scheduled consecutive Senate meetings nor more than nine (9) such meetings. If the petition is approved, the temporary vacancy will be filled in the same manner as a permanent one, in accordance with Article III C 4 of the Constitution. The elected alternate shall assume all senatorial duties of the senator being replaced.

BY-LAW IV. Elections will be held to reflect changes in organizational structure of the University only at prescribed annual Faculty Senate elections.

BY LAW V. Procedural matters brought before the Senate require only one reading. Substantive matters brought before the Senate require two readings. Determination of matters of substance will be made by the chair.

BY-LAW VI. The chair of the Faculty Senate shall declare vacant the position of any elected senator who is absent from three regularly scheduled senate meetings during a senate year and who fails to provide for a temporary alternate or an observer for any of the three as the case may require. That member's department head will be apprised of the reason for the vacancy. The vacancy will be filled in accordance with Article III C 4 of the Constitution.
PROCEDURES FOR FACULTY REGENT ELECTION

1. A written notice of the election shall be distributed by the Faculty Senate via campus mail to each faculty member at least twenty (20) working days prior to the initial ballot. This letter shall indicate:

a. Times and voting locations for the initial ballot;

b. Criteria concerning eligibility of candidates and the voting electorate;

c. A schedule of public posting for a list which designates those members of the faculty deemed eligible to vote as well as those eligible to serve as Faculty Regent;

d. A procedure by which issues of eligibility shall be resolved;

e. The procedures by which a faculty member may have his or her name included on the initial ballot;

f. A listing, by college, of members of the Senate By-Laws, Amendments and Elections Committee who should be contacted concerning questions of eligibility and requests for clarification.

2. A list including the name of each faculty member eligible to vote shall be prepared by the Office of the Vice President for Academic Affairs. An asterisk shall be used to designate those faculty members eligible to vote but not eligible for election. At least twenty (20) working days prior to the initial ballot, a copy of the eligibility list should be given to each department's Faculty Senator with instructions to check the eligibility list for his/her area, report errors and omissions to the By-Laws, Amendments, and Elections Committee, and post the list on the department's bulletin board within twenty-four hours after receiving it. Candidates and those whose names are added to or deleted from the original eligibility list by the By-Laws, Amendments, and Elections Committee should be so informed.

3. Issues of voter eligibility by members of the faculty must be reported in writing to a member of the By-Laws, Amendments and Elections Committee at least ten (10) working days prior to the initial ballot.

4. Any eligible faculty person may declare candidacy for the Faculty Regent position and/or any eligible faculty person may be nominated by other faculty members. If an eligible faculty member is nominated by other faculty, such nomination shall be accompanied by a statement of consent to serve signed by the person being nominated. All nominations are to be submitted to the Chairperson by the By-Laws, Amendments and Elections Committee at least ten (10) working days prior to the election.
5. The By-Laws, Amendments and Elections Committee shall meet at least eight (8) working days prior to the election to certify the eligibility list and prepare an initial ballot.

6. Any person wishing to vote absentee must either obtain a ballot directly from the By-Laws, Amendments and Elections Committee member representing his or her college and sign the official voter list or write a letter requesting a ballot with the signature on the letter constituting the signing of the eligibility list. The ballot must be returned in person or by mail to the By-Laws, Amendments, and Elections Committee member in double envelopes before 8:00 a.m. the day before the election. The By-Laws, Amendments, and Elections Committee shall put the date and time of receipt on the unopened absentee ballot.

7. The election shall take place on a single week day, between the hours of 8:00 a.m. and 4:00 p.m.

8. Locked and secure ballot boxes shall be provided for the initial vote in each college dean's office. The key to the ballot box shall be retained in the possession of a Senator of the By-Laws, Amendments and Elections Committee.

9. The number of paper ballots provided shall coincide with the number of eligible voters. To receive a ballot, each eligible voter shall show his or her official university identification card and sign next to his or her name on the official eligible voter list. An area shall be provided at the voting location for the ballot to be marked in secret. Each voting location shall be supervised at all times by university personnel designated by the By-Laws, Amendments and Elections Committee.

10. Each person shall vote for one candidate only.

11. Immediately upon the closing of the polls, the ballot box shall be locked. The By-Laws, Amendments, and Elections Committee shall meet and count the ballots.

12. Upon conclusion of the vote tabulation, the committee members shall certify the outcome of the election by affixing their signatures to the tabulation results.

13. If a simple majority is obtained by any single individual, that person shall be the duly elected Faculty Regent.

14. If a simple majority is not obtained on the first ballot, subsequent balloting shall take place in each college dean's office. Policies and procedures of the initial election shall apply to subsequent balloting.

15. Ballots subsequent to the first shall take place in not less than five (5) nor more than ten (10) working days from the previous election.

16. The By-Laws, Amendments and Elections Committee shall inform all faculty by campus mail of the next election. The letter shall include the time and place of
voting, names of the candidates that are to appear on the next ballot, provision for absentee ballots, and the names of the members of the By-Laws, Amendments and Elections Committee by college who should be consulted for clarification of rules and procedures.

17. Names of the candidates shall be placed on the ballot in an order determined by a drawing conducted by the Chairperson of the By-Laws, Amendments and Elections Committee. The candidates or their designated representatives shall participate in the drawing.

18. The second ballot shall include those individuals receiving the highest number of votes and whose votes total fifty (50) percent of the votes cast.

19. Balloting shall continue according to established procedures until one candidate receives a simple majority.

20. The final certified results as attested by the By-Laws, Amendments and Elections Committee shall be delivered immediately to the President of the University by the Chairperson of the Senate. The results of the election shall be held in strict confidence by members of the By-Laws, Amendments and Elections Committee until the results are officially released by the President of the University.

21. The first ballot is to be completed on or before October 1.

22. The Faculty Regent will be sworn in at the fourth quarterly meeting and serve a three-year term from the time the oath of office is taken.
COMPUTING ETHICS POLICY

The general standards of conduct expected of members of an educational institution also apply to the use of University computing resources. These resources include:

1. "Hardware" -- physical equipment used for processing or data communications.
2. "Software" -- programs, programming languages, instructions, or routines which are used to perform work on a computer.
3. "Data" -- information such as records or textual material stored on or accessible through a computer.

University computing resources are made available to individuals to assist in the pursuit of educational goals. It is expected that users will cooperate with each other so as to promote the most effective use of computing resources and will respect each other's ownership of work even though it is in electronic rather than printed form. Individuals and organizations will be held no less accountable for their actions involving computers than they would be in other situations.

Rules prohibiting theft or vandalism apply to computing resources that are the property of the University including software and data as well as physical equipment. Conduct which violates the University's property rights with respect to computing resources includes:

1. Copying University-owned or licensed software or data to another computer system for personal or external use without prior written approval.

2. Attempting to modify University-owned or licensed software or data without prior written approval.

3. Attempting to damage or disrupt operation of computing equipment, data communications equipment, or data communications lines.

4. Using University computing resources for purposes other than those intended by the University body granting access to these resources including:

   a. Allowing access to them by unauthorized persons even if they are members of the University community.

   b. The use of University computing resources in external consulting unless approved in accordance with University procedures, except for "occasional or incidental" professional activities (as defined in the Faculty Handbook under "Professional Responsibilities," subsection, "Extra-University Consulting and Other Professional Activities"). When approved, such use is limited to the specific resources allocated for the purpose, and fees may be charged for such use.

The University seeks to protect the civil, personal, and property rights of those actually using its computing resources and seeks to protect the confidentiality of University
records stored on its computer systems from unauthorized access. Conduct which involves use of University computing resources to violate another's rights includes:

1. Invading the privacy of an individual by using electronic means to ascertain confidential information.

2. Altering University software or data files by electronic means without proper authorization.

3. Copying another user's software or data without permission of its owner.

4. Knowingly accepting or using software or data which has been obtained by illegal means.

5. Abusing or harassing another user through electronic means.

6. Using the University's computing facilities in the commission of a crime.

Some of the University's computer systems require that each user have a unique identity, protected by a password, to gain access to the system. The computer identity is used to represent a user in various system activities, to provide access to certain software and data based on his credibility and purpose for requiring such access, and to associate his own software and data with his identity. As such, this computer identity is another instrument of identification and its misuse constitutes forgery or misrepresentation. Conduct which involves misuse of computer identities includes:

1. Allowing an unauthorized individual to use the identity.

2. Using another individual's computer identity without his express permission, even if the individual has neglected to safeguard it.

The management of University computing resources is distributed among many University bodies. Rules and regulations governing specific resources are available through the individual governing bodies.

Abuses of University computing resources will be referred to the appropriate instructor or supervisor for consideration under the University's disciplinary processes. This referral may be accompanied by a temporary suspension of computing privileges awaiting outcome of the disciplinary process. In addition, Kentucky law contains specific statutes with respect to improper use of computers in state agencies. Therefore, improper use of University computing resources may be subject to criminal or civil legal action in addition to University disciplinary action.
WESTERN KENTUCKY UNIVERSITY POLICY ON INTEGRITY
IN RESEARCH AND OTHER SCHOLARLY ACTIVITIES

I. INTRODUCTION

Individual integrity in science, research, and scholarly activities is an important component of a viable and energetic academic community. The following policy on integrity and the guarding against misconduct in research and scholarly activities applies not only to externally funded investigative projects but to all scholarly efforts that involve faculty, staff, and students at Western Kentucky University.

Misconduct in university research activities undermines the research enterprise and is harmful to the university community, the research community generally, and the public. Institutions such as Western Kentucky University have the responsibility not only to promote a healthy research environment but also to establish policies and procedures that deal effectively with allegations or evidence of misconduct. This document deals with the university procedures for handling allegations of misconduct.

By way of introduction the basic principles which guide the institutional review process are as follows:

Individual integrity in academic research is the expected norm.

Faculty, staff, and students have an obligation to report misconduct in research when there is evidence that the misconduct is intentional.

Universities should provide vigorous leadership in the pursuit and resolution of all charges of misconduct in research.

Universities must take care that the process pursued to resolve allegations of misconduct not damage research itself.

Universities should treat all parties with justice and fairness and be sensitive to the reputations and vulnerabilities of all parties.

Procedures for dealing with allegations of misconduct must preserve the highest attainable degree of confidentiality compatible with an effective and efficient response.

The integrity of the process must be maintained by painstaking avoidance of real or apparent conflict of interest.

The procedures should be as expeditious as possible.

Universities should document the pertinent facts and findings at each stage of the process.
Universities should recognize and discharge their responsibilities after resolving allegations of misconduct—internally, to all involved individuals; and externally, to the sponsors of research, the research literature involved, and other appropriate groups or agencies.

II. DEFINITION OF RESEARCH MISCONDUCT

As used in this policy statement, the term "research misconduct" includes four categories of unacceptable actions:

A. An intentional act of deception by the researcher (faculty member, staff, postdoctoral associate, or student) in proposing, conducting, or reporting results of research. It is different from the honest error and the ambiguity of interpretation that is inherent in the research process and which is normally corrected by attempts at replication. Examples are:

1. Falsification of data—ranging from outright fabrication to deceptively selective reporting, including the purposeful omission of conflicting data with the intent to falsify results.

2. Plagiarism—representation of another's work as one's own.

3. Misappropriation of others' ideas—the unauthorized use of privileged information (such as violation of confidentiality in peer review), however obtained.

B. A deliberate failure to comply with University and/or sponsoring agency requirements affecting specific aspects of a research project, e.g., the protection of human subjects, the welfare of laboratory animals, or the use of recombinant DNA techniques.

C. A clear lack of adequate supervision of students and other research personnel by faculty for insuring that data are appropriately collected and reported.

D. A major and deliberate failure to comply with other legal requirements governing research.

III. PROCESS FOR HANDLING ALLEGATIONS OF RESEARCH MISCONDUCT

The University process for handling allegations of research misconduct involve three stages: inquiry, investigation, and resolution.

Initiation of an Inquiry

Western Kentucky University has a responsibility to pursue an allegation of research misconduct fully and to resolve questions regarding the integrity of research. In the inquiry and any investigation which may follow, the University will
attempt to focus on the substance of the issues and be vigilant not to permit personal conflicts between colleagues to obscure the facts.

In order to address all allegations of research misconduct expeditiously, the University designates the dean of the appropriate college as the administrator to whom allegations are to be reported. If the dean has a conflict of interest with a case, the allegation will be pursued by another administrator designated by the Vice President for Academic Affairs.

The dean of the college involved will pursue all allegations to resolution. The dean will consult in confidence with any individual who comes forward with an allegation of research misconduct. If the dean determines that the concern is addressed appropriately through policies and procedures designed to deal with misconduct in research, the subsequent inquiry and investigation procedures will be discussed with the individual who raised the questions about the integrity of a research project. If the individual chooses not to make a formal allegation, but the dean believes there is sufficient cause to warrant an inquiry, the matter will be pursued; in such a case, there is no "complainant" for the purposes of this document.

IV. INQUIRY

A. Purpose

Whenever an allegation of misconduct is filed, the dean will initiate an inquiry—the first step of the review process. In the inquiry stage, factual information is gathered and expeditiously reviewed to determine if an investigation of the charge is warranted. An inquiry is not a formal hearing; it is designed to separate allegations deserving of further investigation from frivolous, unjustified, or clearly mistaken allegations.

B. Structure

The inquiry process may be handled with or without a formal committee, at the discretion of the dean. Regardless of the approach chosen, it is the responsibility of the dean to ensure that the inquiry is conducted in a fair and just manner.

If individuals are chosen to assist in the inquiry process, they should have no real or apparent conflicts of interest with the case in question, be unbiased, and have an appropriate background for judging the issues being raised. If the alleged research misconduct is a failure to comply with regulations regarding the use of human subjects, laboratory animals, or recombinant DNA in research, these individuals will be selected by the dean from the compliance committee dealing with the issue.
C. Process

Upon initiation of an inquiry, the dean will notify the respondent (accused of misconduct) in writing within a reasonable period of time of the charges and the process that will be followed. If the committee method is to be used, the committee members will be appointed and convened.

Whether a case can be reviewed effectively without the involvement of the complainant depends upon the nature of the allegation and the evidence available. Cases that depend specifically upon the observations or statements of the complainant cannot proceed without the open involvement of that individual; other cases that can rely on documentary evidence may permit the complainant to remain anonymous.

The respondent will be given copies of written documents (if any) that support the allegations. To ensure the safety and security of any written documents associated with the allegation, committee members will be asked to review a copy of such documents within the office of the appropriate dean.

When the inquiry is initiated, the respondent will be reminded of the obligation to cooperate in providing the material necessary to conduct the inquiry. Uncooperative behavior is unacceptable, and may result in immediate implementation of a formal investigation. The respondent will be invited to present a written response to the allegations, and this response will become part of the case file maintained in the office of the dean.

Due to the sensitive nature of an alleged case of research misconduct, the university will strive to resolve each case expeditiously. The inquiry phase will normally be completed and a written report of the findings filed for the institution's own record within thirty (30) days of written notification to the respondent. A thirty-day period meets the federal regulatory requirements. If the committee anticipates that the established deadline cannot be met, a report, citing the reasons for the delay and progress to date, will be filed with the dean, and the respondent and appropriately involved individuals will be informed.

D. Findings of the Inquiry

The completion of an inquiry is marked by a determination of whether or not an investigation is warranted. There will be written documentation to summarize the process and conclusion of the inquiry. The complainant and respondent will be informed by the dean of the outcome of the inquiry. Allegations found to require investigation will be forwarded to the investigative body discussed below. At this point, any agency sponsoring the research will be notified of a pending investigation.

If an allegation is found to be unjustified but has been submitted in good faith, no further formal action other than informing all involved parties will be taken. The proceedings of the inquiry, including the identity of the respondent, will be
held in strict confidence to protect the parties involved. If confidentiality is breached, the university will take reasonable steps to minimize the damage to reputations that may result from inaccurate reports.

If an unjustified allegation is found to have been maliciously motivated, disciplinary actions will be recommended to the Vice President for Academic Affairs.

V. INVESTIGATION

A. Purpose

An investigation will be initiated only after an inquiry issues a finding that an investigation is warranted. The investigation’s purpose is to explore further the allegations and determine whether there has been research misconduct. At any time during the investigation the respondent may be represented by legal counsel. In the course of an investigation, additional information may emerge that justifies broadening the scope of the investigation beyond the initial allegations. The respondent will be informed in writing when significant new directions of investigation are undertaken. The investigation will focus on accusations of misconduct as defined previously and examine the factual materials of each case. The investigation will look carefully at the substance of the charges and examine all relevant evidence.

B. Structure

Except in the circumstance discussed in the next paragraph, the investigating body will be a five-person ad hoc committee appointed by the Vice President for Academic Affairs to handle the investigation. Members of the investigative committee may be chosen from within or outside the university. Those investigating the allegations will be selected in full awareness of the closeness of their professional or personal affiliation with the complainant or the respondent. Any prospective member who has a conflict of interest in a case will not be permitted to be involved in that case. It is important, however, that the committee have appropriate research expertise to assure a sound knowledge base from which to work.

If the alleged research misconduct is a failure to comply with regulations involving the use of human subjects, laboratory animals or recombinant DNA in research, the appointed committee will be the full university compliance committee on that subject at the time of the investigation, rather than the five-person committee indicated above.

C. Process

Upon receipt of the inquiry finding that an investigation is warranted, the dean will ask the Vice President for Academic Affairs to initiate the investigation
promptly. The complainant and respondent will be notified in writing of the
investigation; the written summary of the inquiry stage will be included with this
notification. All involved parties are obligated to cooperate with the proceedings
in securing additional data related to the case. All necessary information will be
provided to the respondent in a timely manner to facilitate the preparation of a
response. The respondent will have the opportunity to address the charges and
evidence in detail.

In the interim, the university will, if necessary, act to protect the health and
safety of research subjects, patients, students, or any other persons at risk.
Administrative action could range from complete suspension to slight restrictions
in the activities of the respondent. Interim administrative action will be taken in
full awareness of how it might affect other individuals and the ongoing research
within the institution.

The written record for the investigative stage will be handled in the same
manner as for the inquiry stage, i.e., one copy of the record will be given to the
respondent, a second, maintained by the Office of the Vice President for
Academic Affairs, will be available for inspection by the committee.

All significant developments during the investigation, as well as the final
findings of the committee, will be reported to any sponsor of the research. When
the investigation is concluded, all entities initially notified of the investigation
will be informed of its final outcome.

The university will attempt to complete an investigation within 120 days. If
the deadline cannot be met, an interim report will be submitted by the committee
to the Vice President for Academic Affairs with a request for an extension.

D. Findings of the Investigation

The findings of the investigative committee will be submitted in writing to the
Vice President for Academic Affairs. The respondent will receive the full report
of the investigation.

E. Appeal/Final Review

In the event of a finding of research misconduct, the university will provide
the respondent with an appeal opportunity. A written appeal of the investigative
committee's decision is to be addressed to the Vice President for Academic
Affairs and should be restricted to the body of evidence already presented. The
appeal must be filed within two weeks of a finding of research misconduct.

VI. SPECIAL CONDITIONS

The institution is responsible for notifying the funding agency if it ascertains at
any stage of the inquiry or investigation that any of the following conditions exist:
THE EDUCATIONAL RIGHTS AND PRIVACY ACT OF 1974

The Educational Rights and Privacy Act of 1974 requires institutions of higher education to inform the student body of the types of student educational records being kept within the institution, where they are located on campus, and the official responsible for the security of these records. Therefore, students and faculty at Western Kentucky University should be aware of the following:

I. The permanent transcript of grades earned at the University is kept in the Office of the Registrar, Potter Hall. Inquiries should be directed to the Registrar.

II. The permanent folder for each student, including such items as the application for admission, ACT scores, high school transcript, correspondence with the student, etc. is kept in the Academic Advising and Retention Center, Cherry Hall, Room 226. Inquiries should be directed to the Director of that Office.

III. Academic Advisement, career planning and placement records are kept for most students. Generally, advisement records are kept within the academic department of the student's major by the faculty advisor or department head. Advisement records for undeclared majors are kept in the University Academic Advising and Retention Center. Career planning and placement records are kept in the Career Services Center, Cravens Graduate Center, Room 216. Inquiries should be directed to either the head of the academic department or to the Director, University Academic Advising and Retention Center.

IV. Graduate admission and advisement records are kept in the Graduate Studies and Research office, Wetherby Administration Building, and in the student's academic department. Inquiries should be directed to the Dean of Graduate Studies and Research or to the head of the student's major department.

V. Other student records pertaining to teacher education, student affairs, organizations, alumni affairs, traffic, residence halls, student health, and financial aid are maintained by the offices responsible for these areas. Inquiries should be made to the director of the appropriate office.

Each office and department maintaining student educational records has procedures for students to review their records and has policies for the release of student records. Student educational records will be released outside the University only to those persons specifically authorized by the federal and state statutes. Within the University, student educational records are available only to authorized University personnel who have an educational interest in the student and the record. Inquiries pertaining to review or release of records should be directed to the head of the office or department maintaining the record.

Procedures for a student to challenge the content of an educational record when it is believed that a part of the record is inaccurate, misleading, or in violation of the
student's rights are as follows: (1) The head of the office will confer with the student in an attempt to reach an understanding about the item in question and to resolve the matter if possible. (2) If an understanding cannot be reached, the Vice President responsible for the office or department maintaining the record will arrange for a hearing upon written request from the student. At this hearing, the student and the head of the office will present the facts to an ad hoc committee consisting of three impartial persons (administrative staff and/or faculty) appointed by the Vice President. (3) After the hearing, this committee will make recommendations, but the Vice President will make the final decision. Inquiries about these procedures should be directed to the head of the office or department and/or the appropriate Vice President.

Other questions pertaining to the Educational Rights and Privacy Act of 1974 or student educational records may be directed to the Registrar, Potter Hall. (See forms on accompanying pages.)
REQUEST FOR INSPECTION OF
STUDENT RECORDS

REVIEW REQUEST
(To be executed by student who wishes to review records)

Date: ____________________

I, ___________________________________________ of

(Name of Student)

______________________________

(Complete Address of Student)

hereby request that I be permitted to inspect and review the records of

____________________________________

(Department or office which has custody of record)

pertaining to me.

______________________________

Signature of Student

______________________________

(Telephone Number)
RELEASE REQUEST

(To be executed by any person, agency, or organization, other than the student, desiring access to the records of a student)

PART I

Date: ________________________________

I hereby request access to the records of ____________________________________________

(Name of Student)

on behalf of ______________________________________ for the following purpose:

(Name of person, agency, or organization)

The specific records requested are: ________________________________________________

(Signature of Person desiring access)

PART II

Consent - This portion is to be executed by the student at the student's sole discretion, but only in cases of inspection or release to persons outside the institution.

I hereby consent to the release of my records as requested above.

(Signature of Student)

NOTE: This form to be retained by a custodian of records with the records of the affected student.
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February 26, 1996

MEMORANDUM TO: Administrative Council, Department Heads, Directors and Faculty

FROM: Robert V. Haynes
Vice President for Academic Affairs

SUBJECT: Addendum to Faculty Handbook, 14th Edition/Sexual Harassment Policy

"Please note the addendum to the Faculty Handbook, 14th Edition as follows:

Page 69:

Sexual Harassment Policy - Western Kentucky University will not tolerate sexual harassment in any form. The University’s complete sexual harassment policy, including the procedures for making an informal or formal complaint, may be located in the office of each Department Head, each Dean, or may also be reviewed in the Office of Human Resources, the Affirmative Action/ADA Compliance office, the reference desk of the Margie Helm Library, and the Office of the President. In addition, you may contact the Director of Human Resources (745-5360), the Affirmative Action/ADA Compliance Officer (745-5121), or the Dean of Student Life (745-2791) if you have questions about the policy or a concern over harassment."

RVH:tj