

# Faculty Handbook

2025-2026



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# **I. PURPOSE OF THE FACULTY HANDBOOK; ROLE OF THE FACULTY**

## **A. Mission of the University**

Illinois Wesleyan University, an independent, residential, liberal arts university founded in 1850, strives to attain the ideal of a liberal education while providing unique opportunities with distinctive curricula and programs. A liberal education at Illinois Wesleyan fosters creativity, critical thinking, effective communication, strength of character and a spirit of inquiry. Our curriculum deepens the specialized knowledge of a discipline with a comprehensive world view. The Illinois Wesleyan experience affords the greatest possibilities for realizing individual potential while preparing students for democratic citizenship and life in a global society. As the University pursues this ideal for all of our students, we help students to follow a wide range of career and life paths, offering diverse curricula in liberal arts, fine arts and professional programs as well as opportunities for interdisciplinary study and off-campus learning. The University through our policies, programs and practices is committed to diversity, social justice and environmental sustainability. A tightly knit, supportive university community, together with a variety of opportunities for close interaction with excellent faculty, both challenges and supports students in their personal and intellectual development.

## **B. Role of the Faculty in Effectuating that Mission**

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

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

## C. Purpose of the Faculty Handbook

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

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

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

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

## D. Faculty Constitution of IWU

The faculty governs itself according to the faculty constitution found later in this document, primarily through the meeting of the whole and its committees. Selected provisions relating to the relationship between faculty and University are repeated in other chapters.

The University is a corporation and responsibility for its governance is ultimately in the hands of the members of the Board of Trustees. The President is the chief executive officer of the Corporation and is responsible to the Board for the implementation of its policies.

## II: FACULTY RIGHTS AND RESPONSIBILITIES

### A. Faculty Rights

#### 1. Academic Freedom and Due Process

The faculty of Illinois Wesleyan University shall be afforded academic freedom and due process. Following the 1940 AAUP statement, academic freedom is defined by Illinois Wesleyan as follows:

- a. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
- b. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to the subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.
- c. College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

As noted by the AAUP in its 1940 *Statement of Principles on Academic Freedom and Tenure*, academic freedom “carries with it duties correlative with rights.” These include obligations to their students, the disciplines in which they serve, and the University community, consistent with University policy, accreditation requirements, and applicable law. The full 1940 *Statement*, with AAUP’s interpretive comments, is set forth in the Faculty Constitution.

#### 2. Statement on Professional Ethics

*The Statement which follows, a revision of a statement originally adopted in 1966, was approved by the Association’s Committee B on Professional Ethics, adopted by the Association’s Council in June 1987, and endorsed by the Seventy-third Annual Meeting.*

##### Introduction

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy

statements, providing guidance to professors in such matters as their utterances as citizens, the exercise of their responsibilities to students and colleagues, and their conduct when resigning from an institution or when undertaking sponsored research. The *Statement on Professional Ethics* that follows sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession.

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to ensure the integrity of members engaged in private practice. In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the general secretary and Committee B, to counsel with members of the academic community concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action, the procedures should be in accordance with the 1940 *Statement of Principles of Academic Freedom and Tenure*, the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*, or the applicable provisions of the Association's *Recommended Institutional Regulations on Academic Freedom and Tenure*.

### **The Statement**

- I. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
- II. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
- III. As colleagues, professors have obligations that derive from common

membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

- IV. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
- V. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

### 3. AAUP Statement on Academic Freedom and Artistic Expression

*The statement that follows was adopted by the participants in the 1990 Wolf Trap Conference on Academic Freedom and Artistic Expression, sponsored by the American Association of University Professors, the American Council on Education, the Association of Governing Boards of Universities and Colleges, and the Wolf Trap Foundation. The statement was endorsed by the AAUP's Committee A on Academic Freedom and Tenure and by its Council at their meetings in June 1990.*

Attempts to curtail artistic presentations at academic institutions on grounds that the works are offensive to some members of the campus community and of the general public occur with disturbing frequency. Those who support restrictions argue that works presented to the public rather than in the classroom or in other entirely intramural settings should conform to their view of the prevailing community standard rather than to standards of academic freedom. We believe that, "essential as freedom is for the relation and judgment of facts, it is even more indispensable to the imagination."<sup>1</sup> In our judgment academic freedom in the creation and presentation of works in the visual and the performing arts, by ensuring greater opportunity for imaginative exploration and expression, best serves the public and the academy.

The following proposed policies are designed to assist academic institutions to respond



to the issues that may arise from the presentation of artistic works to the public and to do so in a manner that preserves academic freedom:

1. *Academic Freedom in Artistic Expression.* Faculty members and students engaged in the creation and presentation of works of the visual and the performing arts are as much engaged in pursuing the mission of the college or university as are those who write, teach, and study in other academic disciplines. Works of the visual and the performing arts are important both in their own right and because they can enhance our understanding of social institutions and the human condition. Artistic expression in the classroom, the studio, and the workshop therefore merits the same assurance of academic freedom that is accorded to other scholarly and teaching activities. Since faculty and student artistic presentations to the public are integral to their teaching, learning, and scholarship, these presentations merit no less protection. Educational and artistic criteria should be used by all who participate in the selection and presentation of artistic works. Reasonable content-neutral regulation of the “time, place, and manner” of presentations should be developed and maintained. Academic institutions are obliged to ensure that regulations and procedures do not impair freedom of expression or discourage creativity by subjecting artistic work to tests of propriety or ideology.
2. *Accountability.* Artistic performances and exhibitions in academic institutions encourage artistic creativity, expression, learning, and appreciation. The institutions do not thereby endorse the specific artistic presentations, nor do the presentations necessarily represent the institution. This principle of institutional neutrality does not relieve institutions of general responsibility for maintaining professional and educational standards, but it does mean that institutions are not responsible for the views or the attitudes expressed in specific artistic works any more than they would be for the content of other instruction, scholarly publication, or invited speeches. Correspondingly, those who present artistic work should not represent themselves or their work as speaking for the institution and should otherwise fulfill their educational and professional responsibilities.
3. *The Audience.* When academic institutions offer exhibitions or performances to the public, they should ensure that the rights of the presenters and of the audience are not impaired by a “heckler’s veto” from those who may be offended by the presentation. Academic institutions should ensure that those who choose to view an exhibition or attend a performance may do so without interference. Mere presentation in a public place does not create a “captive audience.” Institutions may reasonably designate specific places as generally available or unavailable for exhibitions or performances.
4. *Public Funding.* Public funding for artistic presentations and for academic institutions does not diminish (and indeed may heighten) the responsibility of the university community to ensure academic freedom and of the public to respect the integrity of academic institutions. Government imposition on artistic expression of a test of propriety, ideology, or religion is an act of censorship which impermissibly denies the academic freedom to explore, to teach, and to learn.

#### **Note**

1. Helen C. White, "Our Most Urgent Professional Task," AAUP Bulletin 45 (March 1959): 282

#### 4. Defense and Indemnification for Service on Certain Faculty Committees

This will be a Fall 2025 CUPP recommended NEW provision to be presented to the faculty.

#### 5. Intellectual Property Rights.

Consistent with academic custom and practice, University faculty have significant intellectual property rights over scholarship created within the scope of their IWU employment. The University's current Intellectual Property policy, which applies not only to faculty but also to certain activities by students and staff, is set forth as Appendix C to this Handbook.

#### 6. Faculty Salary Policy Statement

##### a. Determination of faculty salaries.

The "acceptable gap" salary equity system is essentially a testing mechanism **applied to all continuing faculty salaries every year**. Acceptable gaps for associate and full professor are based on a comparison to rank averages at several points:

- when someone enters the rank and when they have been in rank for 5 years and 10 years;
- when someone is promoted to associate, their salary is adjusted to be no more than \$10,000 below the rank average (the median is used in all these tests);
- after 5 years in rank, to be no more than \$5,000 below average;
- after 10 years, to equal the rank average. Similarly, if someone is promoted to full professor:
- the gap should be no more than \$13,000;
- after 5 years, no more than \$7,000;
- after 10 years, at the rank average.

##### b. Faculty raises

Raises should combine fixed dollar amounts with percentage raises. The provost should seek CUPP's advice annually on how much of the salary pool increase should go towards fixed dollar amount raises and how much should go towards percentage raises. Adjunct salaries should be increased by the same percentage increase of the standard raises that are given to all faculty.

##### c. Starting salaries

"While we understand that the university has to balance the competing demands of

market pressures and equity, the university ought not pay a beginning assistant professor a starting salary that exceeds either the median salary for full professors or two times the average starting salary in non-market disciplines. Paying starting salaries that exceed either of these two points shifts the balance too far towards the market pressure side. In setting a starting salary, the university ought not create inversion within or across ranks within a discipline/department.” Adopted at the April 18, 2011, faculty meeting.

#### **d. Promotion raises**

Promotion raises are \$3,600 for both ranks.

### **7. Benefits, including Faculty and University-Wide Benefits**

Faculty enjoy substantial employment benefits, including those extended to all employees as well as benefits unique to faculty. These benefits are subject to change in the discretion of the University. Current benefits are described briefly in Appendix D and more fully at [<https://www.iwu.edu/human-resources/current-employees.html>].

### **8. Professional Leaves and Grant Opportunities**

#### **a. Leave Programs**

The University’s interest is best served by providing opportunities for all members of its faculty to continue to grow as inspiring and effective teachers and scholars. One such opportunity is a sabbatical program that allows for faculty members to take periodic leaves so that they may engage in professional activities that would not otherwise be available, including such activities as advanced study, research, writing, painting and composing, but not excluding other intellectual activity. Thus, subject to the conditions and procedures described below and in the [\*Faculty Development handbook\*](#), the University encourages each member of the faculty to apply for regular sabbatical leaves.

The University also supports a non-competitive one-semester leave program for pre-tenure faculty. This program is designed to provide a concentrated opportunity for professional development for faculty in the period prior to tenure consideration. All pre-tenure faculty on the tenure-track with satisfactory progress toward tenure will have the opportunity to receive one pre-tenure faculty leave before tenure.

Finally, the University grants leaves without pay under a variety of personal and professional circumstances.

Following are brief descriptions of the policies governing each type of leave. Please consult the [\*Faculty Development Handbook\*](#) for detailed information on the application process for leaves.

## 1. *Sabbatical Leave*

Faculty members employed on a full-time basis may apply for a sabbatical leave for as much as one full academic year, to be taken after at least six years of full-time service, and similarly each seventh year thereafter. Approval of a sabbatical leave involves a two-stage process. First, faculty members eligible for a sabbatical leave should consult with their department heads/supervisors well in advance of the time at which they would apply for leave. If the faculty member decides to defer a sabbatical leave, they must file a notification of deferral form. The deferral notification form should be sent by the faculty member requesting deferral to their immediate supervisor by April 1 (or the first weekday thereafter), approximately 16 months before the beginning of the academic year when the leave is scheduled to commence. Second, if not deferring the leave, by November 1 of the academic year preceding the planned leave, the faculty member must submit a completed sabbatical application, which will receive a careful critical review by the Faculty Development Committee (FDC). The Provost will receive the results of FDC's review and will confer with the President before making recommendations to the Board of Trustees at its February meeting. Applicants will be notified of the decision soon after the February meeting of the Board, and should make acceptance, in writing, within thirty days of notification. Any faculty member whose request for leave is denied will be notified of the reasons for that decision in writing.

The on-going concern to preserve the quality of course offerings and simultaneously maintain a commitment to regular leaves requires careful planning by Deans, Chairs, and Directors and their respective faculty members. Within a given year, timing and provision for replacement are subject to administrative review in consultation with Deans, Chairs, Directors. This may involve increasing or decreasing requested replacements or shifting the semester in which some leaves will be taken, where such a shift would not impair the attainment of the objective of the leave.

All faculty members electing to take a *one-semester* sabbatical leave will receive full salary and benefits without reduction, just as if they were teaching full-time. Faculty members electing a *full-year* leave will be paid half-salary. Benefits arrangements for full-year sabbaticals should be discussed with Human Resources.

The recipient of a sabbatical leave agrees to return to the University to teach for one academic year directly following the sabbatical leave. Faculty members who voluntarily terminate their service on the staff of the University prior to the end of the first academic year following the completion of the sabbatical will repay to the University a sum equal to 1/9th of their total compensation (i.e., annual salary and benefits) for each month remaining to be served during that academic year. Partial months shall be repaid on a prorated basis. In case of a medical disability following a sabbatical leave, the requirement to return compensation may be

waived upon recommendation by the Provost with approval of the President.

Faculty may postpone a sabbatical for up to two years without altering the timeline for subsequent sabbaticals. Faculty on unpaid leave for all or part of an academic year may not count that year toward the six needed for sabbatical eligibility.

For complete details on applying for a sabbatical leave, faculty members should consult the most recent [Faculty Development Handbook](#).

## **2. *Pre-Tenure Faculty Leave***

Tenure-track faculty members at the rank of Assistant Professor become eligible to submit an application for a semester leave in the second full year of a regular, tenure-track appointment. The last year a faculty member is eligible to make an application for a pre-tenure leave is two years before tenure consideration. Full salary and benefits continue during the leave period.

Once a faculty member has received one leave under this program they are ineligible to apply for a second such leave. Award of a leave under this program does not change the projected date of tenure consideration established on initial appointment to the tenure-line faculty.

Junior teaching-track faculty have 3 course releases available to be used prior to their first 6-year contract renewal. No more than two may be taken in any given semester.

For complete details on applying for a pre-tenure faculty leave, faculty members should consult the most recent [Faculty Development Handbook](#).

## **3. *Leave Without Pay***

A faculty member may apply for a leave of absence without pay, generally after having completed at least three years of full-time service. Such leave might be for personal reasons or for purposes of accepting a visiting lectureship, research, study, or for other kinds of work performed with or without compensation.

Application for a leave without pay should be made directly to the Provost, who will consult with the Deans, Chairs, Directors and the President before acting on the request. Leaves of absence normally do not receive credit in determining eligibility for tenure and sabbaticals.

### **b. Professional Travel**

The University offers support during the academic year for faculty travel related to professional development (attendance at conventions and conferences of learned and professional societies). The total amount, as well as maximum amounts for

automobile travel, lodging, and meals, for which a faculty member may be reimbursed in a given year is limited as determined by the Provost in consultation with the Dean of Curricular and Faculty Development and the Faculty Development Committee. A standard limit is announced at the beginning of each year. Professional travel expenses not reimbursed by the University may be claimed as professional expenses for tax purposes.

In addition to an annual travel allowance for professional development, limited funds are available for faculty travel to designated regional or national conferences or workshops dealing with educational issues related to teaching or curriculum. Applications for support endorsed by the applicant's immediate supervisor should be submitted to the Dean of Curricular and Faculty Development. The applicant's request should include descriptive information about the conference, how attendance will benefit the faculty member and Illinois Wesleyan, plans to share the information with colleagues, and should mention any past support to attend similar conferences.

All professional travel and travel schedules during the academic year (whether funded by the University or not) must have prior approval by the immediate supervisor and the Dean of Curricular and Faculty Development. To be eligible for travel reimbursement, a faculty member must *in all cases* have the Dean of Curricular and Faculty Development's prior approval of the travel and travel schedule before making a trip. In cases where travel is not cleared with the Dean in advance, reimbursement may take place only if a surplus remains in the travel budget at the end of the academic year. Forms for requesting professional travel are available at the [Faculty Travel](#) page in the Thorpe Center website.

See the most up-to-date version of the [Faculty Development Handbook](#) for details on applying for travel funds, obtaining advances, and claiming expenses.

The Provost also administers funds for travel related to assigned instructional and administrative duties associated with pursuit of institutional rather than individual interests. Guidelines for reimbursement of expenses in this category are the same as those for professional travel. Meal expenses will not be reimbursed in cases of regularly scheduled travel involving instructional duties such as internship or clinical supervision.

### **c. Grant Opportunities**

Illinois Wesleyan University has several grant programs for funding faculty work related to scholarship or other creative endeavors and curriculum and collection development. Under all programs, the Faculty Development Committee and CETAL are closely involved in the selection of grant recipients from among applicants. All eligible faculty are encouraged to apply. For complete details on these programs, see the [Faculty Development Handbook](#).

Illinois Wesleyan University also strongly encourages faculty and staff to develop

and submit proposals for grants from foundations and corporations for academic programs or other purposes of the University. Many times, such proposals involve requests for funds that require matching from University resources. Such proposals require special consideration, because of the commitment being made in submitting them. Faculty and staff should in all cases consult with the Grants Officer for assistance in developing proposals. When matching funds are required, that office should be involved well in advance of the deadline, so that adequate consultation with the Provost will be possible.

Faculty may buy out a course with monies provided by an external grant as long as the following conditions are met: the faculty member must obtain approval for the release, in a timely fashion, by the faculty member's Dean/Chair/Director and the Provost; the position is easily filled by adjuncts; the faculty member is limited to a maximum of one course release per year; and the released course must be bought at a rate of 1/6th of a faculty member's annual salary.

## **9. Other Faculty Resources and Related Policies**

### **a. University Library Services**

All faculty are encouraged to use The Ames Library in conjunction with their instructional and scholarly/artistic activities. Library faculty are prepared to provide information literacy instruction sessions for any class and to assist individual students and faculty with any aspect of library research or copyright clearance. The Library maintains a strong selection of online and print resources that meet the demands of our curriculum. Through IWU's membership in the Consortium of Research and Academic Libraries of Illinois (CARLI), as well as the Center for Research Libraries (CRL) faculty, staff, and students have additional access to a full range of print and electronic materials suitable for undergraduate education and research.

Faculty members are also urged to participate in the selection of library materials for collection development. The University has a collection development policy, available by request to the University Librarian. Submission of specific requests for books, media, and periodicals should be done through the library faculty liaison assigned to a department, program or school. Suggestions for Special Collections materials are also welcome, and the University Archives purchases major published faculty works and accepts deposits of unpublished works. The library can assist faculty with setting up an IWU Scholars page, a component of our online repository Digital Commons @ IWU that can be personalized for each faculty member.

The Ames Library is also home to the Writing Center, the Center for Engaged Learning, the Action Research Center, the Thorpe Center for Curricular and Faculty Development, and Information Technology Services.

Please see The Ames Library website for details on library services, policies, and resources or contact your library faculty liaison for a tour of the library and to learn more about its services.

610  
611 **b. Faculty Offices and Office Equipment**  
612

613 *Offices:* Faculty office assignments are made initially through the Associate Provost.  
614 Any request for changes in assignment or physical alteration of an office should be  
615 addressed to the Associate Provost.  
616

617 *Office Equipment:* The University provides a computer and selected software for each  
618 full-time faculty member; details are worked out through the Associate Provost's  
619 Office and Information Technology Services at the time of initial appointment. Start-  
620 up funding for equipment or highly specialized software necessitated by a faculty  
621 member's assigned responsibilities (e.g., laboratory instruments, musical instruments,  
622 and so forth) is negotiated with the Provost at the time of appointment. After the  
623 initial appointment, any faculty member may request equipment or software through  
624 the Dean, Chair, or Director as part of the annual budget cycle. Requests for  
625 computers, software, and AV equipment should be directed to Information  
626 Technology Services.

627 Requests for other permanent equipment should be directed to the Associate Provost.  
628

629 **c. Instructional Facilities/Resources**  
630

631 *Classrooms and Classroom Equipment:* The use of most rooms in academic buildings  
632 is coordinated by the Registrar who assigns locations for regularly scheduled classes.  
633 Requests for temporary or permanent changes in room assignments should be  
634 directed to the Registrar's Office. Reservations for use of academic rooms outside of  
635 regular course use are made through the 25Live scheduling software.  
636

637 Most classrooms and meeting rooms are furnished with a computer and AV system.  
638 To request the use of portable audio/visual equipment or laptop computers and related  
639 peripherals, faculty members should contact the Ames Library.  
640

641 *Bookstore:* The University Bookstore prompts faculty to order books for every course  
642 listed each term. Faculty members are encouraged to complete book requests in a  
643 timely fashion and to also notify the bookstore if no texts/materials are required.  
644 Faculty members who need a desk copy of a text should order it directly from the  
645 publisher by contacting a sales representative or completing a request using the  
646 publisher's website.  
647

648 *Printing:* The Titan Print and Mail office is available for use by faculty, staff, and  
649 campus organizations. Work-related printing is billed to a department, organization,  
650 or office budget code. Personal printing related to IWU activities will be accepted  
651 from faculty, staff, students, campus organizations, and  
652 off-campus educationally related or non-profit organizations. A cash or check  
653 payment is required for this type of work.  
654

655 *Meeting Rooms:* Most room reservations on campus are scheduled on-line using



25Live. For new user log-in, password, and training on this software, contact the administrative specialist for the Office of Student Involvement. The 25Live Website can be accessed in My IWU by clicking on the “Faculty & Staff Essentials” widget and selecting “Reserve Campus Spaces” from the drop down menu on the MyIWU portal home page.

#### **d. Policy on Permanent Equipment**

Permanent equipment for academic use should be requested by Deans, Chairs or Directors. Requests for computers, software, and AV equipment should be submitted to ITS by email to [ITS@iwu.edu](mailto:ITS@iwu.edu) or by using Service Desk Plus. Requests for other types of permanent equipment should be made electronically using a link provided to Deans, Chairs, and Directors by the Associate Provost's Office. Requests are generally submitted by May 1 to be considered for the following fiscal year, but requests can be submitted at any time in response to newly emerging needs such as equipment failures.

Requests for computer and information technology equipment are reviewed by the Associate Provost in consultation with the Chief Information Officer. All university purchases of information technology equipment are made through Information Technology Services. Supported software and recommended hardware configurations can be found on the [Information Technology Service](#) site.

Most equipment funds are approved early in the fiscal year, often before fall classes begin. A small contingency fund is maintained through the year, however, to handle emergency maintenance or replacement of equipment that breaks down.

Departments may use their operating budgets for small equipment items. The following policy should be consulted in deciding whether to submit a request for an item as permanent equipment or to purchase it out of the departmental supply and expense budget.

1. The permanent equipment budget should be used for all items costing \$250 or more, but should not be used for single items priced under \$100. In the range of \$100-\$500 department administrators can make discretionary judgments as to whether to use supply and expense funds or to request permanent equipment funds.
2. Items requested as permanent equipment should have an identifiable, durable life of at least three years. Items that are expendable or consumable should be purchased with department supply and expense funds rather than requested as permanent equipment.

### **B. Responsibilities of Faculty**

All faculty at Illinois Wesleyan University have teaching and service duties, and some

have scholarship duties. This section lays out details related to teaching and to advising (the most common service duty). Other details can be found in the chapter on faculty appointments, rank, hiring, and advancement.

## 1. Teaching Responsibilities

As stipulated in the “AAUP Statement on Professional Ethics,” faculty members, convinced of the dignity and worth of their profession, recognize that their primary responsibility is to know their subject and to advance its truths as they perceive them. Although they may follow subsidiary interests, these interests must never seriously hamper their effectiveness as teachers. As faculty members, their primary obligation is to meet their teaching responsibilities fully and effectively.

### a. Teaching Load

For full-time faculty, the teaching load is normally six course units per year for tenure-track faculty and eight course units per year for teaching-track faculty. Release time for administrative duties or special University service is not automatic for any faculty position and must be negotiated with the Provost in each individual case.

Adjustments to the usual scheduling guidelines may be applied in cases where responsibility for a course is shared, where course enrollments are inordinately large or small, or where a significant portion of the faculty member’s time is necessarily devoted to small group or individual instruction; e.g., laboratory and studio courses. These adjustments in individual teaching loads are made on the basis of such factors as the following:

- i. Amount of direct student contact (in class).
- ii. Amount of indirect student contact, such as paper grading.
- iii. Total enrollments.
- iv. Amount of support assistance available, such as student assistants.
- v. Staffing alternatives to meet student needs.
- vi. Non-teaching duties.

Faculty members who are in some way dissatisfied with their teaching load should discuss the matter with the Dean, Chair, or Director, and/or with the Provost.

Some leadership positions on campus result in the release of teaching time to accommodate administrative duties associated with the leadership role. A course release indicates that the work associated with the position involves work that is equivalent to teaching a course. The positions listed below will be compensated with the following number of course releases:

|                           |   |
|---------------------------|---|
| Writing Program Director: | 2 |
| Writing Center Director:  | 4 |

|                             |    |
|-----------------------------|----|
| Assessment Committee Chair: | 1  |
| CC Chair:                   | 1* |
| CETAL Chair:                | 1  |
| CUPP Chair:                 | 2  |
| FDC Chair:                  | 1  |
| PAT Chair:                  | 1  |

\*In periods of significant curricular change, it is possible a second course release could be negotiated (e.g., Shared Curriculum reform)

#### **b. Faculty Class Attendance**

It is understood that faculty will meet with their courses as scheduled in Banner. In cases where alternative activities such as individual conferences are substituted for regular class meetings, it is expected that the faculty member will file a course plan with their Dean, Chair, or Director. This procedure equips the University to deal with parents and others who are misinformed about the instructional program or who are unsympathetic to innovative teaching techniques. When a faculty member needs to be absent from classes due to speaking engagements or attendance at professional meetings, the [Faculty Travel Request Form](#) should be used prior to travel to gain the Approval of the Dean, Chair or Director and the Dean of Curricular and Faculty Development. In cases of acute illness or other isolated, unexpected absences the Dean, Chair or Director should be notified as soon as possible and efforts should be made to have appropriate notices placed in the classroom. Administrative specialists may assist in these efforts. When feasible, a colleague may be asked to serve as guest instructor or remote instruction may be used. In the event that illness or other circumstances cause a faculty member to be absent for more than one week, the faculty member should notify the Provost and HR and work with the Dean, Chair or Director to make alternative arrangements for the students. Excessive course cancellations (a single absence longer than one week or cumulative absences exceeding a total of two weeks) without administrative approval and alternate teaching arrangements in place, are unacceptable and may be referred to the Hearing Committee for resolution.

#### **c. Online Courses**

Each online course must use the university's LMS and the course shell used for instruction must meet the IWU Online Course standards. If the LMS structure of a previously approved course is substantially revised, it should undergo re-approval. The course LMS can be approved for use in online instruction in the following ways:

1. Preferred Mechanism: Faculty complete the IWU Online Course Development Cohort the semester before the intended course is offered.
2. Alternate approval strategy: The faculty member may show evidence that their Canvas course meets or exceeds the IWU Online Course standards by submitting their course LMS and the scored rubric to be reviewed by the Thorpe Center. As online courses are only taught in the Summer Term,

the timeline for approval in this manner is as follows:

1. In the Fall semester prior to the online course being offered, the faculty member must score their course LMS using the IWU Online Course standards rubric and submit their scored rubric and access to their course LMS to the Thorpe Center (thorpe@iwu.edu) by December 1st.
2. By January 15 of the following semester, the Instructional Designer provides feedback to the faculty member about whether their course LMS meets the requirements set forth by the rubric.
3. Exceptions to these deadlines may be made in extenuating circumstances. Please direct questions to the Dean of Curricular and Faculty Development.
3. The Provost Office/Thorpe Center collects the final evaluation rubrics for each online course LMS to add to the permanent faculty file, which is required for online teaching accreditation

#### **d. Evaluations by Students**

IWU uses the SmartEvals system for online evaluations. It is expected that all courses taught will be evaluated unless there are difficulties or circumstances that cannot be overcome. Students are clearly interested in participating in course evaluations. Please provide your students the opportunity to complete and submit their evaluations. Reflections on these evaluations by supervisors and faculty will be required as part of the self-evaluation and supervisor evaluation process.

The primary purpose of this policy is to facilitate improved teaching effectiveness. Evaluations are completed by students and held by the Office of the Registrar until final grades for the course are turned in by the faculty member. This provides students with assurance that their grades will not be affected by their responses. Annually, after reviewing the evaluations, each faculty member should prepare a summary and file the completed forms with their supervisor. The forms must be kept on file in the Department or School office for a period of three years and must be made available upon request of the Promotion and Tenure Committee.

#### **e. Class Schedules**

During the fall and spring semesters, most regular classes are scheduled during the first fourteen weeks in fifty-minute periods meeting three times a week (MWF), or seventy-five-minute periods meeting two times (TTH/MW/MF). In addition, there are some large time blocks available in the afternoons and occasionally evenings to accommodate laboratory work, film screenings, and seminar meetings. The final week of the semester features two-hour blocks to be used for administration of final examinations or for class meetings. During the Summer Sessions, regular classes meet daily, with one day set aside for final exams at the end.

The class schedule ensures that time and space will be available for class meetings. It is not intended to enforce rigidity in the instructional program, and an opportunity for

special arrangements is always open to the individual faculty member. Deans, Chairs, and Directors should consult with the Registrar about proposed class schedules in their areas to ensure that appropriate instructional space is available.

In the unlikely event that a faculty member wishes to change the meeting time of a course after registration has taken place, the faculty member should contact the Associate Registrar and ask her/him to email all of the students enrolled in the course with details of the proposed change. The students will be asked to respond directly to the Associate Registrar, letting her/him know whether or not the proposed time will work. If every registered student is able to accommodate the change, then the course may begin meeting at the new time. Any proposed time changes should fall within our defined course meeting times.

In order to allow our students to fulfill their obligations to all courses and activities, required attendance at events that are not held during the regular class period should not occur without providing flexibility that allow students who are unable to attend the ability to complete the requirement in some other way.

#### **f. Course Syllabi**

Each faculty member is required to produce and distribute, preferably at the first class meeting, but in any event within the first week of classes, a written syllabus explaining the aims, scope and format of the course, readings and other class experiences, such as class discussions, panels, quizzes, papers, and examinations. The syllabus must also include class attendance policy, grading policy, and office hours. Written course outlines, where appropriate, are strongly encouraged. Syllabi must also include information about student requests for reasonable accommodation that is consistent with the University's reasonable accommodation policies and applicable law. See [Office of Student Accessibility](#) for more details.

All departments and schools should institute and maintain policies whereby syllabi or other descriptions of course procedures for all courses offered are collected by the appropriate Dean, Chair, or Director. Syllabi for Gateway and Summer Term courses should also be filed in the Thorpe Center with the Dean of Curricular and Faculty Development.

A schedule is hereby suggested whereby syllabi should be collected by Deans, Chairs, and Directors. 1<sup>st</sup> Semester and 2<sup>nd</sup> Semesters: All syllabi should be submitted by the end of the third week. Summer Term: All syllabi should be submitted by the end of the first week.

#### **g. Office Hours**

Faculty office hours are very important in view of the University's emphasis on teaching, advising, and personal contact between faculty and students. Each faculty member must post and maintain a schedule of regular office hours amounting to at least five hours per week. Although unstructured office hours are preferred, it is acceptable practice for a faculty member to use sign-up software to allow students to

reserve time during posted office hours. In that event, the scheduling link should be posted along with regular office hours. It is suggested that hours be scheduled so that individual students will not experience multiple conflicts because of a single course. Each faculty member must file a schedule of office hours with the Provost at the beginning of each term, update their schedule in the online system, and should announce it to each class. Notice of schedule changes during the term should also be sent to the Provost and announced. Whenever possible, advance notice of hours that will be missed should be posted with the schedule on the office door.

## **2. Policies Related to Teaching**

### **a. Student Class Attendance**

It is the responsibility of instructors to inform students of their attendance policy for each course. The attendance policy should be clearly written and visible in the course syllabus, and should include: clear instruction on how to communicate absences to the instructor, whatever opportunities or responsibilities the student has to make up coursework based on the instructor's determination, and contact information for services such as Arnold Health Services and Counseling and Consultation Services. Sample syllabus language is available online.

Students are expected to attend classes regularly. In cases of unavoidable absence, including health concerns (e.g., physical or mental), family emergencies, or religious observances, it is the student's responsibility to inform the instructor as soon as possible but no later than 48 hours after their absence. Instructors may make their own policies based on course needs or disciplinary requirements, and these should be clearly delineated within their syllabi. Health Services will provide evidence to instructors of medical attention at the request of any student.

It is the individual student's responsibility to notify instructors in advance of absences resulting from University-approved functions. University-approved non-academic activities which conflict with class schedules do not automatically take precedence over regular class work.

Instructors are encouraged to exercise reasonable flexibility in accommodating students with absences that are a result of University-approved functions or non-academic activities (refer to section on Faculty Supervision of Student Travel).

When a student's absences are in excess of those permitted by the policy of the instructor, it will be assumed that unless otherwise demonstrated, the student has decided not to fulfill the attendance/participation requirements of the course. If the instructor's attempts to communicate with the student are unsuccessful, the instructor should submit a Student of Concern form with the Office of Student Affairs, so that the cause may be ascertained and assistance provided, if necessary and if possible. If the absences continue, the instructor may choose to meet with the Dean of Students and the Associate Provost to discuss how best for the student to proceed (i.e., arrange accommodations, withdraw from the course, or take an incomplete).

913  
914 **b. Tests and Examinations**

915 Final course assignments or exams are administered during and not before the  
916 regularly scheduled time during “finals week”. Comprehensive final examinations are  
917 not a mandatory part of every course, but a final exam or other activity must be  
918 administered during the scheduled exam period. Exams or other graded assignments  
919 scheduled earlier in the semester may come due during the last week of classes, but  
920 faculty members are strongly discouraged from assigning proximal to and due during  
921 the last week of classes additional exams, projects, or papers. Students are  
922 encouraged to prepare for final exams throughout the semester and to use reading  
923 day(s) for further preparation. These recommendations allow for better student and  
924 instructor preparation for final exams.

925 Evening exams or exams scheduled at other times outside the ordinary class days  
926 such as on weekends should be avoided. When they are necessary, however, such  
927 examinations may be given, provided they do not conflict with any regularly  
928 scheduled University event which involves one or more members of the class.  
929 Rooms for this purpose may be reserved at the Registrar’s Office and time spent in  
930 administering such examinations may be substituted for class time required in the  
931 regular schedule.

932  
933 **c. Grading Policies**

934  
935 Each faculty member is responsible for informing students in each course as to the  
936 bases upon which work will be evaluated and the methods by which final grades will  
937 be computed. (Refer to the appropriate sections of the University Catalog for overall  
938 policies and standards relating to grade designations.)

939  
940 Midterm grade reports are required of all faculty for all students. These reports are also  
941 sent to the individual student’s faculty advisor, and to the parents of first-term, first-  
942 year students. Mid-term grades are intended to give students who are doing  
943 unsatisfactory work adequate warning prior to the end of the term. Midterm grade  
944 reports are key to effective student-faculty communication, as is the practice of  
945 returning graded work to students in a timely manner. Both provide a catalyst for  
946 students to regroup, adjust, and improve with the faculty member's support. Therefore,  
947 at mid-term, the Registrar shall remind faculty members to submit grade reports for all  
948 students.

949  
950 Final grade reports are accessible to the parents/guardians of all dependent students if  
951 a student has given prior permission. The individual faculty member is responsible to  
952 the students and to the Registrar for submitting final grade reports according to the  
953 schedule established by the Office of the Registrar. Failure to meet the deadline for  
954 turning in grade reports creates serious inconvenience to the students involved. After  
955 the final grade for a student has been submitted to the Registrar’s Office, no change  
956 may be made except to correct a demonstrated clerical error. Notification of the error  
957 and the change should be sent to the Registrar.

Individual faculty members should retain their gradebooks and/or relevant records pertaining to student performance in their classes for a period of not less than four years. Upon the faculty member's separation from the University, these records are to be left with the faculty member's immediate supervisor or the Registrar.

#### **d. Grading System**

Effective with the 1997-1998 academic year, the grading system at Illinois Wesleyan University converted from a flat A, B, C, D, F scale to one that includes the following distinctions, quality points, and definitions. The faculty implemented this change to acknowledge academic achievement at all levels, and especially to reward high attainment within a grade range. The faculty's aim is to communicate the most accurate information possible about student performance through an Illinois Wesleyan University transcript. Faculty members are encouraged to communicate clearly the standards on which they will base grades in each course they teach.

|                             |   |
|-----------------------------|---|
| A (4.0), A- (3.7)           | Credit for work of superior quality                         |
| B+ (3.3), B (3.0), B- (2.7) | Credit for work of good-to-very-good quality                |
| C+ (2.3), C (2.0)           | Credit for work of acceptable but not distinguished quality |
| C- (1.7)                    | Credit for work of marginal quality                         |

|         |  |
|---------|--|
| D (1.0) | Credit for work of poor quality  |
| F (0.0) | Failure  |
| Cr      | Passing; not computed in grade point average   |
| N. Cr.  | No credit; not counted in grade point average  |
| Inc.    | Incomplete; used when course requirements are not completed due to circumstances beyond a student's control; not counted in grade point average; reverts to an F (in graded courses) or an N. Cr. (in credit/no credit courses) after one semester if not changed to a passing grade |
| I.P.    | In progress; used when course requirements, by definition (as in some travel courses), cannot be completed within the normal grading period.   |
| Au.     | Audit  |
| Dp.     | Dropped course; used during first eight weeks of a semester or the first two weeks of Summer Term; not counted in grade point average  |
| W       | Official withdrawal from the University during the first eight weeks of a semester; not counted in grade point average   |



A student's cumulative grade point average (GPA) is determined by dividing the total number of earned quality points by the total number of graded units of credit for which the student has been enrolled. To remain in good standing academically, a student must maintain a cumulative grade point average of 2.0 (C). Normally, only those students with cumulative GPAs of 1.5 or above at the end of the first year, 1.8 or above at the end of the second year, and 2.0 or above at the end of the junior year are permitted to continue their studies at Illinois Wesleyan University.

The Credit/No Credit Option permits students to take selected courses for a grade of Credit or No Credit. Policies governing the use of this option are specified in the *University Catalog*. Instructors are not informed when a student is taking a course for credit or no credit. Regular grades are submitted to the Registrar's Office where they are converted to credit or no credit according to uniform standards of credit for "C-" and above and no credit for "D" or "F".

Faculty members should consult the most recent *University Catalog* for further information on grading and other academic standards.

#### **e. Response to Students Seeking Accommodation**

Students with disabilities covered by Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act (ADA) of 1990 may apply for reasonable accommodations via the Office of Student Accessibility Services. Please see University's current accommodation policy, found at [<https://www.iwu.edu/accessibility/>], for a detailed description of the process. Faculty of students with accommodations will receive an e-mail detailing the student's accommodations with the student cc'd onto the e-mail. Students who request accommodations from their faculty but do not have an e-mail documenting accommodations should be referred to the Office of Student Accessibility Services. Any other questions concerning disabilities or responses to students of concern should also be directed to the Director of Accessibility Services.

Occasionally a student experiences a physical, mental, or emotional crisis during the semester. If you believe you have knowledge of such a situation, please notify the Dean of Students' Office. You may also consult the Mental Health Action plan or Counseling and Consultation Services. Quite possibly these offices will already be working with the student in question, but at times you may be providing the first alert.

Faculty should not demand information from a student of concern. Instead, the Dean of Students Office should be contacted, and at your request, will provide you with any information that they are legally able to share. However, please be aware that we work within a complex network of legal constraints and guarantees of privacy which include the federal statutes already mentioned as well as the Family Educational Rights and Privacy Act (FERPA) and the Health Insurance Portability and Accountability Act (HIPAA). The University must exercise great care in providing

information, and often the faculty cannot be provided with the amount of information they wish they had. These are the realities of the current regulative environment rather than insensitivity to faculty concerns.

**f. Faculty Involvement in Student Complaints about Faculty Members**

Faculty may also be involved in review of complaints by students against faculty or administrators. See Chapter V and the Faculty Constitution, for the applicable Hearing Committee standards and procedures in such circumstances.

In practice, the Provost agrees to hear student complaints only after ascertaining that students have first tried to address their concerns by discussing them with the faculty member involved or by bringing them to the attention of the relevant Dean, Chair or Director.

The institution is expected to demonstrate for accreditation by the Higher Learning Commission (HLC) that it utilizes a systematic complaint-tracking process that best fits its needs. This process should contemplate any formal complaint the institution receives, regardless of the subject matter. Whatever approach the institution takes, the institution should demonstrate that its process effectively allows student complaints to be received, tracked, and handled in a timely manner. While under certain circumstances the institution and team may receive information regarding complaints filed directly with HLC prior to the evaluation visit, institutions are not required to supply any student complaints as part of demonstrating compliance with this requirement.

**g. Faculty Participation in Education and Reviews regarding Academic Integrity**

Faculty members are urged to assist students in their understanding of regulations regarding academic dishonesty and its significance to the values of an academic community. Faculty also play an important role in academic dishonesty processes. This role includes faculty vote in changing the policy. Faculty are advised to refer to the *Student Handbook* in order to have detailed familiarity with the policy as it is communicated to students. Please consult the current version of the Illinois Wesleyan University Statement on Plagiarism and related academic integrity process at [<https://www.iwu.edu/judicial/academic-integrity.html>].

**Enforcement**

It is the obligation of each faculty member to report cases of academic dishonesty to the Associate Provost in writing using the form available. Only after such a report has been filed can the appropriate penalty be determined, because offenses are cumulative. A faculty member who reports a case of academic dishonesty to the Associate Provost must inform the student involved at the time the report is made to the Associate Provost. After the offense has been reported to the Associate Provost, the Associate Provost will see that appropriate action is taken and so inform the faculty member, advisor, and student involved.

**h. Faculty Adherence to The Course Unit System**

The University awards credit of two types: course unit credit which counts toward the minimum academic course requirement for a degree and non-degree credit in areas such as Physical Education. Non-degree credits are recorded on the student's transcript and may be required for graduation (as is the case with Physical Education activity courses), but non-degree credits do not affect the student's grade point average and do not count in the accumulation of the minimum course units required for a degree. The standard student load is a total of 8 course units in the Fall and Spring, and one optional course in May, with no strict limitation on the number of non-degree credit courses which may be taken in addition.

Conceptually the course unit system is designed to achieve the following objectives:

- i. Reduced fragmentation of the standard experience and synthesis of course material into larger, standardized units.
- ii. Balanced distribution of work for both students and faculty members over the academic year.
- iii. Flexibility in instructional design, recognizing that credit cannot be equitably measured solely on the basis of time spent in class contact.

While the University's schedule of class periods is set up to provide for three hours of meeting time per week for each course, instructors may design courses which involve more or less direct contact in conjunction with other teaching/learning activities such as laboratories, individual conferences, and library research. The instruction plan for a particular course should take into account course objectives, abilities and motivation of students, nature of subject matter, and size of class, all within the framework of reasonable but challenging demands upon students' time and abilities. As examples of the types of flexibility available in the system, basic courses in Foreign Language are designed to meet five hours per week, a science class might require both classes and lab sessions totaling as much as seven hours per week, and a course in the humanities or social sciences might involve regular class meetings most of the time but suspend these in favor of individual conferences during one or more weeks of the term.

Ideally, all courses will make approximately the same total demands upon a student's time, with ten to twelve hours per week per course as a rule of thumb, considering a four-course load standard in the regular semester. This ideal is an approximation for a hypothetical "average" student. Actual time spent on any given course will inevitably vary greatly among students. For transfer purposes, each course unit is equated to four semester hours, starting in the 1995-96 academic year.

#### **i. Faculty Supervision of Student Travel**

The following procedures must be followed by faculty and coaches responsible for student groups participating in travel sponsored by the University. For trips which conflict with students' classes, students should be advised they will not be excused from class work automatically and must have the permission of their other faculty members. Please note that these procedures are subject to being updated to address legal requirements and evolving best practices; faculty should review the most up-to-date version of the [\*Faculty Development Handbook\*](#) to ensure that the procedure

1106 being followed during student travel experiences is appropriate.

1107 One week in advance of all trips a written notice including the following information  
1108 must be filed with the Associate Provost: • Name of group • Nature of trip • Times  
1109 and dates of departure and return • A list of the students involved. For trips involving  
1110 overnight absence from campus a list of the participating students must be sent to the  
1111 Dean of Students.

#### 1112 *Field Trip Accident Insurance*

1113 The University carries accident insurance for accidental death or dismemberment for  
1114 all travel accidents occurring in connection with University-sponsored and supervised  
1115 activities. This insurance covers all students and all faculty members who are  
1116 members of activity groups, including athletic teams, music and theatre groups, and  
1117 classes on field trips.

1118 In order for participants to be covered, the trip must be to a point or points located  
1119 outside the City of Bloomington, except for student nurses receiving practical  
1120 experience. Coverage begins at the time the individual leaves the campus or place of  
1121 residence and continues until the individual returns to one or the other. Time during  
1122 which individuals are participating in interscholastic sports are specifically excluded  
1123 from coverage. It is not necessary to give advance notification to the University  
1124 Business Office; coverage is automatic.

1125

#### 1126 **j. Faculty Responsibilities for Summer Term Travel Courses**

1127 Faculty members leading travel courses are responsible for the administration of the  
1128 educational aspects of the travel experience. They have the same responsibilities that  
1129 they have for a course offered on campus, but they are not agents of discipline or  
1130 control except to the extent that the actions of the individuals participating relate to  
1131 the educational aspects of the course, or to the safety of the individual or group.

1132 Travel and other arrangements made in connection with travel courses are provided  
1133 solely as an accommodation for members of the University who choose to participate.  
1134 Neither Illinois Wesleyan, nor its officers, faculty or employees shall accept  
1135 responsibility or liability in connection with such arrangements or for accidents on a  
1136 trip. All participants and their parents or their legal guardians must execute a release  
1137 to this effect as a condition of participation.

1138 All travel courses carry the prerequisite of consent of the faculty member. The  
1139 signature of the faculty member is required on applications for participation in travel  
1140 courses.

1141 Courses which are to be offered as travel courses but have not previously been  
1142 offered as travel courses must have new or revised course descriptions reviewed by  
1143 Curriculum Council.

1144 Faculty members wishing to offer a Summer Term travel course should contact the  
1145 Dean of Curricular and Faculty Development to learn more about the responsibilities

and prerequisites of leading travel courses.

### **3. Academic Advising Responsibilities**

#### **a. Introduction**

Illinois Wesleyan University recognizes the importance of academic advising as a critical aspect of the undergraduate educational experience for students. Faculty members are responsible for the academic advising of students. Academic advising is a continual and reflective process whereby faculty advisors provide developmental academic support and guidance for students throughout their college career. Academic advisors help students learn responsibility and accountability for their academic progress and success while building a mutual respect and mentoring relationship. Further, academic advisors utilize reflective advising to assist students in developing an educational plan consistent with their values, personal goals, and professional aspirations and expose students to potential academic and co-curricular opportunities.

#### **b. Rising Titan Advising**

The vitality of our institution is maintained by our incoming students, and their start at IWU is critical to their success and satisfaction. The summer (for fall semester admits) or January (for spring semester admits) prior to matriculation, incoming students will attend a one-day Rising Titan Orientation where they will meet with an advisor, register for their first semester of IWU classes, meet student leaders, and start learning about what it means to transition, thrive, and transform at IWU.

- i. Generalist faculty advisors (from all departments) will be recruited to meet with incoming first-year students during Rising Titan; when/if possible, students will be paired with a generalist advisor whose area of expertise is related to the student's interests.
- ii. Deans, Chairs, Directors are responsible for the academic advising of transfer students entering their programs; this will typically begin at Rising Titan Orientation (Transfer Edition). Deans, Chairs, and Directors may call upon other faculty members in their academic unit to assist them.

#### **c. Advising Assignments and Process**

If a student enters IWU without a declared major, they will be assigned to a faculty advisor who is dedicated to helping them discover their interests and talents. Students who do not have a declared major after their first year may stay with their assigned advisor or may choose to be assigned to the Director of Academic Advising who will further assist with the major exploration process.

When an undeclared student declares their major, a departmental advisor is assigned at that time.

If a student enters IWU having declared their intent to pursue a specific major, they

are assigned to an advisor who is a faculty member in their declared major department(s), or to a dedicated first-year advisor (outside of the department) who volunteers to advise for the declared major department(s). Students assigned to a dedicated first-year advisor (outside of the department) will be assigned to a faculty member in their declared major department(s) beginning in their second year of study. Once they are assigned to an advisor in their declared major department(s), a faculty member in the declared major department(s) will continue to advise them through graduation.

In consultation with the Office of Academic Advising and the Office of the Registrar, Deans, Chairs, and Directors are responsible for appointing faculty advisors to the declared majors in their fields. Tenure-line and visiting faculty members in the first year of their appointment are not normally appointed to be advisors.

Faculty appointed to be advisors for incoming students are required to meet with their advisees during Turning Titan: Fall Orientation. Further, advisors must minimally meet with their assigned advisees at least once each semester before registration to review the student's progress and discuss course selection.

Designated advising periods are scheduled each semester, and can be found on the university calendar. During these advising periods, advisors are responsible for considering students' proposed schedules and for assisting students in making choices that are consistent with their goals and degree requirements. Faculty advisors are also encouraged to reach out to their advisees throughout the semester to engage in reflective advising conversations (e.g. to explore co-curricular learning opportunities, to discuss long-range plans, and to address academic challenges that may arise).

#### **d. Reflective Advising**

Through the utilization of reflective advising faculty: actively collaborate with students to reflect upon, develop, and implement cohesive and holistic educational plans as they pursue their academic, professional, and personal goals; establish engaged partnerships with students based on shared responsibility; guide students to campus resources that will assist them in achieving their goals; and foster an understanding and deep appreciation of the purpose and value of the liberal arts in higher education.

Faculty members are encouraged to use reflective advising principles not only in their role as formal academic advisors, but also when they mentor students in other capacities (e.g. research projects, supervising student employees). For a full definition of reflective advising and additional resources, please refer to the [Reflective Advising Packet](#).

#### **e. Confidentiality**

The University adheres to the conditions of the Family Educational Rights and

Privacy Act of 1974, as amended (sometimes referred to as ‘FERPA,’ or the ‘Buckley Amendment’).

FERPA laws have been instituted to ensure the accuracy, integrity, and confidentiality of educational records concerning students that are maintained by colleges and universities. Public release of information without a student’s written consent is limited to directory information.

Faculty should not post student grades by name in public view. Easily defeated codes such as telephone numbers, student ID numbers, or social security numbers also violate disclosure prohibitions.

Students may provide written consent to a disclosure that otherwise would be prohibited. Official written consent can be made by a student signing a FERPA waiver in the Registrar’s Office. Additional information about FERPA, including a list of directory information and information about students’ rights, may be found on the [Family Education Rights to Privacy Act page](#).

#### **f. Faculty Advisor Responsibilities for Students Planning to Leave the University**

Faculty members, especially faculty advisors, who become aware that specific students are considering leaving the University permanently or for a leave of absence are requested to communicate the students’ names and related information about the student to the Dean of Students Office.

Exit interviews are conducted with all departing students, and where appropriate, students are referred to the proper campus resources for possible assistance. Students who are leaving the university temporarily (e.g. medical leave, suspension, financial hold) and who plan to study on another campus while they are away, should have any coursework pre-evaluated and pre-approved for transfer back to IWU using the Transfer of Credit Request Form.

### **4. Other Faculty Responsibilities**

#### **a. Outside Employment**

Faculty with full-time appointments are expected to notify the Provost if any additional employment obligations (including self-employment) are assumed. Faculty members should also consult the AAUP Statement on Professional Ethics for further guidance.

#### **b. Oversight of Research and Ethical Treatment of Animals in Research.**

Faculty are also responsible, through committees, for overseeing the University’s research initiatives. See Policy Statement on Research, attached as Appendix E.



1284 **c. Faculty Participation in Faculty or University Events**

1285  
1286 At Illinois Wesleyan University faculty participation in a range of activities is  
1287 encouraged. Faculty participation in special events, such as Homecoming and Family  
1288 Days, and participation in the following events is expected:

- 1289  
1290 *i.* General Faculty Meeting  
1291 *ii.* Commencement  
1292 *iii.* Convocations  
1293 *iv.* Faculty Open House  
1294

1295 *i. General Faculty Meeting*

1296  
1297 A meeting of the full faculty occurs monthly during the regular academic year,.  
1298 See the *Faculty Constitution* and General Faculty Meeting Procedures for further  
1299 details. The Chair of CUPP prepares the agenda for the faculty meeting in  
1300 consultation with the President and the Provost. The CUPP Chair may  
1301 recommend deviation from the standard order to facilitate faculty votes or lengthy  
1302 discussions. The Associate Provost, Dean of Curricular and Faculty Development,  
1303 chairs of elected councils and committees, chairs of appointed committees and  
1304 task forces, and members of the faculty may submit items to appear on the  
1305 agenda. The agenda and other relevant documents will be distributed to the  
1306 faculty at least two business days in advance of any General or Special Faculty  
1307 Meeting.  
1308

1309 *ii. Commencement*

1310  
1311 The annual Commencement exercises are institutional functions and as such  
1312 require the participation of the faculty as the ranking members of the academic  
1313 community. These ceremonies are the culmination of a student's career at Illinois  
1314 Wesleyan and are, consequently, extremely important symbolic events for  
1315 students and their families. All continuing faculty members ought, therefore, to  
1316 participate fully in this celebration. Any faculty member who is not able to attend  
1317 Commencement exercises should request permission to be absent from the  
1318 Provost.  
1319

1320 Caps and gowns for these ceremonies are provided to faculty members who do  
1321 not own their own academic regalia.  
1322

1323 *iii. Convocations*

1324  
1325 There are three regularly scheduled all-University Convocations during the year:  
1326 the President's Convocation in September, the Convocation honoring the  
1327 Founders in February, and the Honors Convocation in April. These events are  
1328 official University functions, and faculty members should attend.  
1329



When the convocation programs involve the conferring of an honorary degree, faculty may be asked to march in a traditional procession with full academic regalia. The President provides the faculty with adequate advance notice of these occasions and caps and gowns may be ordered through the President's Office. The University pays the rental fees.

Classes scheduled for the hour at which a convocation begins are canceled. When a convocation is scheduled so that it conflicts with only a part of a class period, faculty members have the option of holding or not holding a class during the remainder of that period. Faculty members are requested to encourage student attendance at convocations.

#### *iv. Faculty Open House*

In the Fall and Spring terms of each year, Faculty Open House programs are arranged by the Dean of Admissions. At these times prospective students are invited to the campus to learn about academic programs. Various members of the faculty may be asked to meet prospective students and their parents and to welcome these campus visitors into their classes. It is very important to the University that potential students receive an accurate impression of Illinois Wesleyan and its faculty, and the cooperation of all faculty members in this effort is urged. Past experience has demonstrated the value of faculty contact in the student recruiting process.

### **5. Other University-Wide Policies Applicable to Faculty.**

The Employee Handbook and University website also set forth general policies of the University that apply to faculty as well as exempt and non-exempt staff. Several important policies are listed below and many more are set forth on the IWU website at (<https://www.iwu.edu/about/policies.html>)

1. Policy Statements Concerning Information Technology
  - a. Information Technology Usage Policy
  - b. IWU Web Policy Statement
2. Philosophical Statement Regarding the Consumption of Alcohol
3. Policy Statement Concerning Alcohol and Drug Abuse
4. The Abused and Neglected Child Reporting Act
5. Sexual Misconduct Policy
6. Required Inclusivity Training
7. Reporting a Bias Incident
8. Whistleblower Policy

### III: FACULTY APPOINTMENTS, HIRING, RANK, AND ADVANCEMENT

#### A. Introduction

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

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

#### B. Faculty Appointments

Faculty appointments at Illinois Wesleyan University are of three types: Tenure-track, Non-tenure-track and, when specific criteria are met, Appointment with Tenure.

##### 1. Tenure-Track appointments

###### a) Tenure-Track Faculty

- At minimum, candidates for original full-time appointment in the College of Liberal Arts and the School of Nursing (except for the Department of Accounting and the Department of Finance, in the case of Creative Writing in the English Department, and in other exceptional circumstances) must be candidates for an earned doctorate with substantial progress toward completion of the degree. Candidates where a doctorate is required who have not completed the requirements for a doctoral degree at the time of appointment shall be hired at the instructor level. Should the requirements for the doctoral degree be completed on or before August 1 of the same calendar year as the candidate is hired, the appointment shall be made at the assistant professor level for that academic year. Those faculty members who complete degree requirements after August 1 of the first year of their appointment will ordinarily be granted assistant professor rank at the beginning of the next academic term.
- Candidates for original full-time appointment in the professional schools of Art, Theatre Arts, and Music must normally have completed the appropriate professional terminal degree and/or possess artistic or technical performance skills which are judged to be equivalent. Candidates without a terminal

degree, or equivalent professional skills, experience, and recognition will ordinarily be appointed at the rank of instructor.

**b) Tenure-Track Library Faculty**

At minimum, candidates for original full-time appointment in The Ames Library must be candidates for an earned Master's degree (Master's of Library Science or Master's of Library and Information Science) with substantial progress toward completion of the degree. Candidates where a master's is required who have not completed the requirements for a master's degree at the time of appointment shall be hired at the instructor level. Should the requirements for the master's degree be completed on or before August 1 of the same calendar year as the candidate is hired, the appointment shall be made at the assistant professor level for that academic year. Those faculty members who complete degree requirements after August 1 of the first year of their appointment will ordinarily be granted assistant professor rank at the beginning of the next academic term.

**2. Non-Tenure-Track appointments**

**a) Teaching-Track Faculty**

Teaching-track faculty positions are renewable, six-year appointments. The responsibilities of these positions are primarily teaching; these positions may be renewed indefinitely without the implication of tenure. Generally speaking, candidates for the Teaching Track will have completed the appropriate terminal degree in their field and/or possess the professional skills which are judged to be equivalent. Candidates without a terminal degree or equivalent skills, experience, and recognition will ordinarily be appointed at the rank of instructor. These positions may be 9 – 12 months, depending on responsibilities and unit needs.

Faculty members appointed for teaching-track positions are not eligible for tenure. To provide an appropriate alternative for these individuals, renewable six-year contracts are offered when a person is initially hired.

**b) Coaching Positions**

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

Faculty members appointed for coaching and physical education instruction are not eligible for tenure. To provide an appropriate alternative for these individuals, renewable three-year contracts may be offered either when a person is initially

1452 hired or after a favorable PAT review, typically in the fourth year of annual  
1453 contracts.

- 1454 • Annual Contracts. One-year contracts offered to coaching and physical  
1455 education faculty may be renewed annually by recommendation of the  
1456 Athletic Director in consultation with the Chair of the Physical Education  
1457 Department. During the first and third years of employment, faculty will be  
1458 reviewed internally by the Athletic Director in consultation with the Chair of  
1459 the Physical Education Department. Formal reviews of a faculty member's  
1460 performance conducted by the Athletic Director, Chair of the Physical  
1461 Education Department and PAT occur during the second and fourth years of  
1462 employment. For the first formal PAT review, the faculty member will  
1463 develop, in the fall of the second year, a self-evaluation of his or her first-  
1464 year's work. This, along with an evaluation by the supervisor, will then be  
1465 forwarded to the Provost's Office for a PAT review. If a scheduled annual  
1466 review is unfavorable, then the existing contract will be allowed to expire and  
1467 the faculty member will not be offered an additional contract.

1468  
1469 A faculty member successfully working in his or her fourth annual contract  
1470 year will prepare another self-evaluation which, along with the supervisor's  
1471 evaluation, is forwarded to the Provost's Office for PAT review. If a  
1472 scheduled review is unfavorable, then the existing contract will be allowed to  
1473 expire. If the fourth-year review is favorable, either another one-year contract  
1474 or a three-year contract will be offered to the faculty member. Typically, if  
1475 things are going well, a three-year contract will be offered at this time.

- 1476 .  
1477 • Three-year Contracts. If recommended by the Athletic Director and the Chair  
1478 of the Physical Education Department and approved by the Provost, a  
1479 coach/physical education faculty member may be offered a three-year contract  
1480 after completing several annual contracts (typically during the fourth year of  
1481 annual contracts.) Either an internal review by the Athletic Director (in  
1482 consultation with the Chair of the Physical Education Department) or a formal  
1483 PAT review will be scheduled during the second year of each three-year  
1484 contract. The internal review occurring in the second year of one three-year  
1485 term is replaced with a formal review by PAT during the second-year of the  
1486 next three-year contract term and so forth in alternating fashion. If this mid-  
1487 term review is favorable, the three-year contract is renewed for another three-  
1488 year term to begin at the conclusion of the current three-year contract. If this  
1489 review is basically favorable but there are some concerns, a one-year contract  
1490 might be offered to the faculty member to begin at the conclusion of the  
1491 current three-year contract. In subsequent years, this one-year contract may be  
1492 transitioned back to a three-year contract. If a scheduled review is  
1493 unfavorable, then the faculty member will not be offered an additional  
1494 contract and the existing contract will be allowed to expire at the end of the  
1495 following year. Any questions about due process should be addressed to the  
1496 Hearing Committee.

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

All coaches/physical education faculty are required to complete a formal PAT review at least every six years from their last review by PAT. Promotions for Coaches/Physical Education Faculty Members

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

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

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

#### **c) Full-time Academic Administrative Appointments**

Full-time Academic Administrative Appointments with faculty rank are one-year appointments, renewable annually. For the same reason as for coaching positions, these positions can be renewed indefinitely.

#### **d) Visiting Positions**

Visiting Positions are temporary positions in the sense that appointment is for a fixed term. Typical instances of such positions are one-year sabbatical replacements.

#### **e) Extended Temporary Positions**

Extended Temporary Positions are visiting positions made with the understanding that they may be multi-year in duration, but are not tenure-track and cannot be extended to any one individual for more than six years. These positions are one-year appointments, renewable annually.

1540 **f) "Courtesy" Appointments**

1541 "Courtesy" Appointments are appointments in name only, without compensation  
1542 or privileges. Such appointments, for example in Military Science, are made as a  
1543 courtesy to faculty at cooperating institutions.

1544 **g) Adjunct Appointments**

1545 Adjunct Appointments are part-time appointments made on a course-by-course  
1546 basis.  
1547

1548 **3. Appointments with Tenure**

1549 Candidates may be considered for tenure at the time of appointment if:

- 1550 ● They hold tenure at their current institutions or are eligible for tenure according to  
1551 IWU's standards.
- 1552 ● They fall into one of the following categories:
  - 1553 ○ Opportunity hires (as defined in the Faculty Handbook)
  - 1554 ○ Full-time academic administrative appointments at the level of vice-president  
1555 or higher who are customarily hired with tenure as faculty members
  - 1556 ○ Candidates whose experience and qualifications may warrant an adjustment to  
1557 the usual practice regarding determining the probationary period in the tenure  
1558 process
  - 1559 ○ Candidates in unusually difficult-to-staff units

1560 In the case of academic administrative appointments at the level of vice-president or  
1561 higher, *de facto* eligibility is the norm. In all other cases, eligibility will be  
1562 determined by the Provost with majority approval from the hiring unit. Difficult-to-  
1563 staff units are designated as such by the Provost. The decision on eligibility in cases  
1564 other than opportunity hires and full-time academic administrative appointments  
1565 should arise in the context of a search. Once eligibility has been established, the  
1566 candidate will present their tenure case to PAT. As in all tenure cases, PAT will then  
1567 make its recommendation to the Provost. As in all tenure cases, failure to achieve  
1568 tenure will be final.  
1569

1570 **4. Faculty Appointment and Family Relationship**

1571 The University allows the appointment, retention and holding of tenure by more than  
1572 one member of the same family within the institution and within the same  
1573 Department. This policy is consistent with the AAUP statement on Faculty  
1574 Appointment and Family Relationship, approved by the Association's Council in  
1575 April 1971. The AAUP policy states that anti-nepotism policies and practices,  
1576 "subject faculty members to an automatic decision on a basis wholly unrelated to  
1577 academic qualifications and limit them unfairly in their opportunities to practice their  
1578 profession."

1579  
1580 The University furthermore adopts and practices the following institutional  
1581 regulations recommended by the aforementioned AAUP policy. The University will

set “reasonable restrictions on an individual’s capacity to function as judge or advocate in specific situations involving members of his or her immediate family.” To that end, the University adopts the following restrictions: “Faculty members should neither initiate nor participate in institutional decisions involving a direct benefit (initial appointment, retention, promotion, salary, leave of absence, etc.) to members of their immediate families.”

## **C. Tenure and Advancement**

### **1. Tenure**

#### **a) Probationary Period**

The typical probationary period for tenure-track faculty is 6 years.

#### **b) Shorter or Longer Probationary Periods**

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

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

#### **c) Probationary Appointment**

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

1622 notify each faculty member of the terms and conditions of renewal by March 15.

1623  
1624 Written notice that a probationary appointment is not to be renewed will be given  
1625 to the faculty member in advance of the expiration of the appointment as follows:

- 1626 ● Not later than March 1 of the first academic year of service, or if a one-year  
1627 appointment terminates during an academic year, at least three months in  
1628 advance of its termination;
- 1629 ● Not later than December 15 of the second academic year of service;
- 1630 ● At least twelve months before the expiration of an appointment after two or  
1631 more years of service at the University.

1632 **d) Major Pre-Tenure Review**

1633 The Major Pre-Tenure Review is designed to give probationary faculty direct  
1634 written feedback from the Promotion and Tenure Committee about their progress  
1635 toward tenure. This review is distinguished from other probationary evaluations.  
1636 In the Major Pre-Tenure Review, the faculty member produces a full case file.  
1637 (See “Major Pre-Tenure Review Materials” for appropriate materials to include.)  
1638 However, the expectations for Major Pre-Tenure review are not equivalent to  
1639 those for tenure. Rather, the faculty member should strive at this point to present  
1640 accomplishments to date in the context of larger goals and strategies for  
1641 continuing development toward tenure. The Promotion and Tenure Committee  
1642 has time to give constructive feedback to the candidate so that they can develop  
1643 further before having to make a case for tenure. In preparing the Major Pre-  
1644 Tenure Review file, the faculty member should be thorough and straightforward  
1645 in the self-evaluation, supporting claims made with appropriate documentation.  
1646 The more thorough and thoughtful the faculty member’s file is, the more valuable  
1647 the Promotion and Tenure Committee’s response to it will be.

1648 **e) Criteria for Earning Tenure**

1649 As established in the AAUP 1940 statement of Principles on Academic Freedom  
1650 and Tenure (Annex I of The Constitution of the Faculty of Illinois Wesleyan  
1651 University), faculty members who have been awarded tenure after the expiration  
1652 of a probationary period will have permanent or continuous tenure, and their  
1653 service may be terminated only for adequate cause, or under extraordinary  
1654 circumstances because of financial exigencies, program discontinuance, or  
1655 inability to perform the functions of the position, using the procedures set forth in  
1656 Chapters IV and V below.

1657  
1658 Illinois Wesleyan fully respects the principle of faculty tenure according to merit.  
1659 The University does not maintain any policy designating quotas or limits on the  
1660 absolute number of tenured faculty or on the proportion of tenured to non-tenured  
1661 faculty members. However, sound educational policy requires strict application of  
1662 the standards outlined below.

1663  
1664 There is no tenure in an administrative position. For example, a  
1665 Dean/Chair/Director may hold tenure rank as a faculty member, but not as



Dean/Chair/Director.

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

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

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

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

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

The Promotion and Tenure processes involve review and recommendation by PAT, which is selected as set forth in the Faculty Constitution and will conduct reviews and make recommendations using the procedures set forth later in this chapter. Final decisions with regard to tenure and promotion of tenure-track faculty are made by the Board of Trustees upon a final recommendation by the President.

Toward the goal of assisting faculty members' professional development, Deans, Chairs, and Directors are responsible for counseling faculty members during each year of their probationary period, and each year thereafter, as to their standing in each of the four criteria. The counseling should include discussion of specific achievements and contributions, as well as problems, and constructive assistance

in areas where improvement is needed. The Provost should counsel any probationary faculty member who does not seem to be cognizant of these standards. The Provost should give such advice as early as possible, repeating it later if necessary, with constructive criticism in reference to specific criteria. However, failure on the part of the Dean, Chair, or Director, or the Provost to perform the above duties shall in no instance be considered grounds for the granting of tenure.

Candidates for tenure will prepare a file to be reviewed by the Promotion and Tenure Committee. [See “Evaluation Materials” for appropriate materials to be submitted] All recommendations by Deans, Chairs, or Directors for the awarding of tenure must be submitted in writing and must include substantial evidence showing why the decision should be in the affirmative. Specifically, individuals who receive tenure must fulfill each of the following criteria:

*Completion of Professional Education and Training.* Candidates must furnish proof that all degree requirements have been completed before the deadline date for presenting files for tenure. To be eligible for tenure, faculty members in the College of Liberal Arts or School of Nursing must have the earned doctorate in the appropriate discipline except in rare circumstances where substantial evidence of equivalent professional ability and experience is clearly demonstrable. For the purpose of tenure and promotion, the master’s degree can be considered the terminal degree in the Department of Accounting and Financial Services and the M.F.A can be considered the terminal degree for Creative Writing. Faculty members in the professional schools of Art, Theatre Arts, and Music and library faculty must have completed the appropriate terminal degree and/or whatever special preparation is normally specified as necessary by the profession.

- Mastery of subject together with the capacity to convey knowledge and skills to students in a creative and cogent manner. If it is appropriate, candidates should integrate their scholarship or creative accomplishments into their teaching practices.
- Ability to stimulate students’ intellectual development. That is, effective teaching should foster in students the processes of critical thinking and/or creativity, clarity of expression, mastery of subject matter, and enthusiasm for learning. Teaching Effectiveness. Teaching is the central activity at Illinois Wesleyan University. Thus, candidates must demonstrate, above all, their ability to teach well and the promise of achieving excellence in teaching. Effective teaching involves the following:

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

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

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

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

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

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

*Service to the University.* While the University realizes that the extent of an individual's involvement in institutional service can only be judged within the limits of the facilities, resources, and time available to IWU faculty members, it nevertheless expects that every faculty member demonstrate willingness and ability to share in those collegial responsibilities necessary to the effective functioning of the institution. Examples of such responsibilities might include membership on University committees and councils, leadership positions and committee assignments within departments, schools, and other academic units. Illinois Wesleyan also recognizes less obvious service such as faculty mentoring (especially mentoring of students from under-represented groups and/or faculty from under-represented groups), support of student extra-curricular activities,

student recruitment and retention, and above all, academic advising, which next to effective teaching, most directly affects the academic well-being of its students. In addition, a faculty member may fulfill service responsibilities through professional organizations which are directly related to the faculty member's field. In whatever form, service to the University is assessed by evidence of effective fulfillment of responsibilities, not merely by numbers of committee assignments or membership.

*Other Criteria.* In addition to the above criteria, the candidate for tenure must be (a) above the rank of instructor and (b) in at least the sixth year of full-time teaching in an accredited college or University. Whether time spent on leaves of absence will be counted in the probationary period should be stated in writing by the Provost. Finally, it should be recognized that tenure is not acquired automatically upon satisfactory completion of a given number of years of service, but upon an affirmative decision of the Board of Trustees.

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

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

### ***Assistant Professor***

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

### ***Associate Professor***

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

### ***Professor***

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

### *Emeritus/a Status*

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

## **3. Evaluation Materials**

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

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

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

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

Faculty members under consideration for tenure and/or promotion need to submit a significantly more substantial review file. Here the interpretive and evaluative emphases should be on *the faculty member's achievements* (as opposed to development) in the categories of teaching, scholarly/artistic achievement, and service. At this juncture, PAT considers internal assessments by those involved in

evaluating a faculty member's work thus far and considers representative evidence of scholarly/artistic achievement. PAT further solicits assessments of the faculty member's work by some outside the immediate IWU community—evaluations of teaching by alumni, and assessments of scholarly/artistic achievement by colleagues in the broader profession.

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

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

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

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

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

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

*Curriculum Vitae*

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

*Teaching*

- Thoughtful self-assessment of one's development as a teacher, including strengths and areas of desired growth.
- Supervisor's assessment of teaching, supported by reports of supervisor's classroom visits.
- Representative course syllabi and assignments, along with evaluative/interpretive comments from both the faculty member and the supervisor.
- Faculty member's and supervisor's reflections on student evaluations. To

1935 facilitate PAT's interpretation of student evaluation reflection, Deans, Chairs,  
 1936 or Directors should keep on file the three most recent years of student  
 1937 evaluations for each faculty member. The evaluations themselves would be  
 1938 made available to PAT with advance notice to a faculty member only if, in its  
 1939 opinion, raw data were necessary to render an appropriate judgment.  
 1940 Evaluations older than three years should be returned to faculty members for  
 1941 their personal files.  
 1942 ● In team teaching, evidence presented by the faculty member should specify  
 1943 the extent of each person's contribution.

1944  
 1945 *Scholarly/Artistic Achievement*

- 1946 ● Faculty member's self-evaluation of his/her achievements and their  
 1947 contributions.  
 1948 ● Interpretation and assessment of the work by the faculty member's supervisor.

1949  
 1950 *Service*

- 1951 ● Department service, all-University service, and relevant community service  
 1952 (if any) should be referred to in the self-evaluation, with such explanation as  
 1953 may seem necessary to clarify and assess the extent and importance of the  
 1954 service. No documentation is required.  
 1955 ● Supervisor's assessment of the extent and importance of all relevant service.

1956  
 1957 *Length of Candidate and Supervisor Evaluations*

1958 The candidate's entire self-evaluation narrative should not exceed 10 pages, 12-  
 1959 point, double-spaced. Supervisors' evaluations should not exceed 8 pages, 12-  
 1960 point, double-spaced.

1961  
 1962 *Optional Materials*

1963 No other materials are necessary. However, if a faculty member believes that  
 1964 some aspect of his/her teaching, scholarly/artistic achievement or service cannot  
 1965 adequately be documented by the materials listed above, the faculty member may  
 1966 choose to supplement the file with any additional materials that would help the  
 1967 members of PAT better understand his/her progress toward tenure or promotion.

1968 **b) Major Pre-Tenure Review Materials**

1969 *Curriculum Vitae*

1970 A curriculum vitae with a complete listing of professional achievements.

1971  
 1972 *Teaching*

- 1973 ● Thoughtful self-assessment of one's development as a teacher, including  
 1974 strengths and areas of desired growth.  
 1975 ● Supervisor's assessment of teaching, supported by reports of the supervisor's  
 1976 classroom visits.

- 1977 ● Representative course syllabi and assignments, along with
- 1978 evaluative/interpretive comments from both the faculty member and the
- 1979 supervisor.
- 1980 ● Faculty member's and supervisor's reflections on student evaluations. To
- 1981 facilitate PAT's interpretation of student evaluation reflections, Deans,
- 1982 Chairs, and Directors should keep on file the three most recent years of
- 1983 student evaluations for each faculty member. The evaluations themselves
- 1984 would be made available to PAT with advance notice to a faculty member
- 1985 only if, in its opinion, raw data were necessary to render an appropriate
- 1986 judgment.
- 1987 ● In team teaching, evidence presented by the faculty member should specify
- 1988 the extent of each person's contribution.

### *Scholarly/Artistic Achievement*

- 1991 ● Materials providing evidence of scholarly/artistic achievement should include
- 1992 the following:
- 1993 – Representative evidence such as an article; a book; a videotape; a
- 1994 recording; a report of professional service to the community; a design; a
- 1995 photograph of an exhibition; a report of contributions to a professional
- 1996 organization; a report of participation as an editor or referee of a
- 1997 scholarly/artistic journal; software; commissioned work; open/educational
- 1998 resources; grant proposals to support scholarly/artistic activity submitted
- 1999 to external agencies, with evidence of a favorable review, even if not
- 2000 funded; and so forth.
- 2001 – If an article or book proposal is accepted, but will not be published until
- 2002 after the deadline, the faculty member is strongly encouraged to submit
- 2003 the letter of acceptance from the publisher, noting, if possible, an
- 2004 approximate publication date. The above list of potential evidence is not
- 2005 exhaustive and will vary according to the faculty member's discipline and
- 2006 his/her area of expertise.
- 2007
- 2008 ● Materials should address the impact of the faculty member's work. Those
- 2009 materials should be interpretive and evaluative—that is, they should assess the
- 2010 contribution to the faculty member's field. Materials should include the
- 2011 following:
- 2012 – Faculty member's interpretation and evaluation of his/her work.
- 2013 – Interpretation and evaluation of the work by the faculty member's
- 2014 supervisor or the supervisor's designee.

### *Service*

- 2017 ● Department/school service—such contributions should be listed and explained
- 2018 in the self-evaluation, and the faculty member should make sure such service
- 2019 is also addressed in the supervisor's evaluation.
- 2020 – University service outside the department/school—the nature and extent
- 2021 of this should also be carefully explained in the self-evaluation.



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

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

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

#### *Optional Materials*

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

### **c) Tenure/Promotion Materials**

#### *Curriculum Vitae*

A curriculum vitae with a complete listing of professional achievements.

#### *Teaching*

- Thoughtful self-assessment of one's development as a teacher, including strengths and areas of desired growth.
- Supervisor's assessment of teaching, supported by reports of the supervisor's classroom visits.
- Representative course syllabi and assignments, along with evaluative/interpretive comments from both the faculty member and the supervisor (or the supervisor's designee).
- Faculty member's and supervisor's reflections on student evaluations. To facilitate PAT's interpretation of student evaluation reflections, Deans, Chairs, and Directors, should keep on file the three most recent years of student evaluations for each faculty member. The evaluations themselves would be made available to PAT with advance notice to a faculty member only if, in its opinion, raw data were necessary to render an appropriate judgment. Evaluations older than three years should be returned to faculty members for their personal files.
- The Provost's Office shall collect written comments from alumni/ae directly, using a uniform set of questions developed by PAT and approved by the General Faculty. Alumni/ae selected to participate shall include some chosen randomly and some chosen by the faculty member. Evaluations from alumni/ae shall be solicited in the following manner: (1) The university shall identify fifteen alumni/ae by a random process of selection from former IWU students of the six previous years; (2) This list of fifteen shall be submitted to the faculty member, and they may eliminate up to five names from the list and

substitute the names of five alumni/ae. The total number of alumni/ae letters will be fifteen, restricted to the start date of the tenure track appointment. If the number of alumni/ae is not sufficient to meet this requirement, the candidate, supervisor, Provost, and PAT may develop an alternative requirement on a case-by-case basis to be determined by April 1. If the candidate is under a shorter clock than six years and served IWU in a non-tenure track position, the faculty member may choose IWU alumni/ae from their non tenure-track years.

- In team teaching, evidence presented by the faculty member should specify the extent of each person's contribution.

#### *Scholarly/Artistic Achievement*

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

should forward names of external evaluators to the Provost's Office in accordance with the Evaluation Calendar for Tenure and Advancement.

#### *Service*

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

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

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

#### *Optional Materials*

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

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

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

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

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

- Evidence of teaching effectiveness, including:

- 2154 – A brief summary of teaching experience
- 2155 – Recent course syllabi and representative assignments, or evidence of
- 2156 effective librarianship (a thoughtful self-assessment of one's development
- 2157 as a librarian, including analysis of areas of concentration, strengths, and
- 2158 desired growth. This assessment should be supported by reflections on
- 2159 student evaluations of instruction sessions, a discussion of pedagogical
- 2160 techniques and programs used and/or initiatives that contributed to the
- 2161 mission of the library).
- 2162 – Reflections on student course evaluations covering the breadth of the
- 2163 candidate's recent teaching responsibilities
- 2164 • Evidence of scholarly/artistic achievement, including:
- 2165 – A curriculum vitae
- 2166 – Appropriate examples of the candidate's work
- 2167 – Two external letters attesting to the quality of the candidate's
- 2168 scholarly/artistic achievement in their field or community of practice.
- 2169 • Evidence of service to their prior institution(s), community, and profession
- 2170
- 2171 *Hiring unit.* For the candidate to be considered for tenure by PAT, the hiring unit
- 2172 must submit the following:
- 2173 • A letter from the Dean, Chair or Director (or senior member) of the hiring unit
- 2174 that provides evidence of both teaching effectiveness/effective librarianship and
- 2175 scholarly/artistic achievement consistent with the granting of tenure.
- 2176
- 2177 *Provost.* The Provost must submit the following:
- 2178 • A letter justifying the consideration of granting tenure to the candidate without a
- 2179 probationary period.
- 2180 • Anonymized responses from individual faculty members in the hiring unit
- 2181 indicating their opinion on hiring the candidate with tenure.
- 2182
- 2183 *Length of Candidate and Supervisor or Senior Unit Member Evaluations*
- 2184 The candidate should provide the requested evidence in a self-assessment document
- 2185 not to exceed 15 pages, 12-point, double-spaced, and through supplementary
- 2186 appendices (e.g., "Syllabi and Assignments," "Course Evaluation Feedback,"
- 2187 "Published Works," etc.).
- 2188 The supervisor or senior unit member's letter should not exceed 4 pages, 12-point,
- 2189 double-spaced.

## 2190 **D. Supplemental Guidelines for Submissions to the Promotion**

## 2191 **and Tenure Committee**

2192 **NOTE:** This document is supplementary to the Illinois Wesleyan University *Faculty Handbook*

2193 and does not replace that document. Each faculty member may face unique circumstances

2194 calling for person-specific qualities to one's presentations to the Committee. Faculty are urged

2195 in the strongest possible way to consult with their supervisors when developing self-evaluation  
 2196 documents and compiling accompanying material.

2197  
 2198

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

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2200

2201 **Supplemental Guidelines for Submissions to PAT (page 2)**

2202

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

2203

## Supplemental Guidelines for Submissions to PAT (page 3)

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

### Formatting Suggestions:

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

## E. Teaching-Track Faculty Advancement & Contract Renewal

### 1. Contracts

#### a) First-term Contracts

There will be a formative evaluation process in the first six-year contract with additional evaluation occurring at the end of each successive six-year contract.

- Reviews will occur after the first, third, and during the sixth year of initial appointment.
- If a contract is terminated following a poor performance review, the faculty member will be issued a one-year terminal contract for the following academic year.
- If a contract is terminated because of under-subscription to a program or other financial reason(s), the faculty member will be permitted to finish the remainder of their contract at IWU. Should the contract have fewer than three years remaining, the faculty member may be given an extension of necessary length to accommodate teaching out the program. A faculty member in this situation will be given a minimum one-year terminal contract.
- If a contract is terminated because of program closure, procedures will mirror those for tenure-line faculty members in the program.

2238                   **b) All Subsequent Renewal of Contracts**  
2239                   At the conclusion of each additional six-year rolling contract, evaluation will  
2240                   occur as outlined in the section of Subsequent Contract Renewal for Teaching-  
2241                   Track Faculty Members later in this chapter.

## 2242                   **2. Promotions for Teaching-Track**

2243                   Teaching-Track faculty are eligible to apply for promotions up to the rank of senior  
2244                   instructor or full professor. When a teaching-track faculty member believes he or she  
2245                   has achieved a level of professional achievement that is deserving of advancement in  
2246                   rank, he or she should prepare a promotion case (as described later in this chapter)  
2247                   and submit it to the Provost's Office for review by the Promotion and Tenure  
2248                   Committee.

2249                   Promotion reviews can correspond with a faculty member's first contract review or in  
2250                   any year after the faculty member has completed her or his sixth-year review. A  
2251                   shortened review clock that accounts for prior service and teaching may be negotiated  
2252                   with the Provost. Materials that teaching-track faculty members must submit for  
2253                   formal PAT reviews or promotion reviews are detailed in the section of Review and  
2254                   Promotion of Teaching-Track Faculty Members later in this chapter. Except as  
2255                   limited above, full-time teaching-track appointments carry faculty rank with attendant  
2256                   rights (except for eligibility for tenure) and responsibilities as provided by the Faculty  
2257                   Handbook at Illinois Wesleyan University.

## 2258                   **3. Review Submission Calendar**

2259                   First-year reviews will be submitted to the Provost's Office by December 1 of the  
2260                   employee's second year.

2261                   The fourth-year reviews will be submitted to the Provost's Office by January 31.

2262                   The sixth-year review will be submitted to the Provost's Office by October 15.

2263

## 2264                   **4. First-Year Review**

2265                   This review covers the first year, and is submitted in the second year.

### 2266                   **a) Curriculum Vitae**

2267                   A Curriculum Vitae with a complete listing of professional achievements.

### 2268                   **b) Teaching**

2269                   Thoughtful self-assessment of one's development as a teacher, including strengths  
2270                   and areas of desired growth, and, if applicable, academic advising.

2271                   ● Supervisor's assessment of teaching, supported by reports of the supervisor's  
2272                   classroom visits.

2273                   ● Representative course syllabi and assignments, along with  
2274                   evaluative/interpretive comments from both the teaching-track faculty  
2275                   member and the supervisor.

2276                   ● Faculty member's and supervisor's reflections on student evaluations.



- 2277                   ● In team teaching, evidence presented by the faculty member should specify  
2278                   the extent of each person's contribution.

2279                   **c) Scholarly/Artistic/Professional Growth and Achievement**

2280                   Teaching-track faculty are not expected to provide evidence of scholarly or  
2281                   creative work for either contract renewal or promotion; however, they are  
2282                   expected to remain current in their field. If they are active in scholarly or creative  
2283                   work, they are encouraged to include evidence of their contributions in their  
2284                   review and promotion materials.

- 2285                   ● Evidences and materials of field currencies might include the following:
- 2286                   ○ List of activities that indicate continued engagement in professional  
2287                   development.
  - 2288                   ○ List of professional development such as conference or professional  
2289                   workshop attendance, participation in discipline working groups, or an  
2290                   annotated bibliography of recent materials relevant to the faculty  
2291                   member's content area and/or pedagogical interests and goals.
  - 2292                   ○ Representative evidence such as: an article; a book; a videotape; a  
2293                   recording; a report of professional service to the community; a design; a  
2294                   photograph of an exhibition; a report of contributions to a professional  
2295                   organization; a report of participation as an editor or referee of a  
2296                   scholarly/artistic journal; software; commissioned work; open/educational  
2297                   resources; grant proposals to support scholarly/artistic activity submitted  
2298                   to external agencies, with evidence of a favorable review, even if not  
2299                   funded; and so forth.
  - 2300                   ● If an article or book proposal is accepted, but will not be published until after  
2301                   the deadline, the faculty member is strongly encouraged to submit the letter of  
2302                   acceptance from the publisher, noting, if possible, an approximate publication  
2303                   date.
  - 2304                   ● The above list of potential evidence is not exhaustive and will vary according  
2305                   to the faculty member's discipline and his/her area of expertise.
  - 2306                   ● Interpretation and assessment of the scholarly/artistic/professional growth and  
2307                   achievement by the faculty member's supervisor.

2308                   **d) Professional Practice and/or co-curriculum activity**

2309                   These practices and activities should be evaluated if they are part of the contract.  
2310                   Not all positions will include such a component.

2311                   Teaching track faculty are hired for disciplinary expertise in the area. Supervisors  
2312                   must consider those disciplinary areas of expertise in the same way they consider  
2313                   scholarship.

2314                   The onus is on the supervisor to explain what the candidate does and how it  
2315                   would be evaluated in the field.

2316                   Evidence of professional practice and/or co-curriculum support:

- 2317                   ● Thoughtful self-assessment of one's development as the professional  
2318                   practitioner, including strengths and areas of desired growth.

- 2319                   • Supervisor's assessment of their professional practice on campus, supported  
2320                   by reports of the supervisor's evaluation in that area.  
2321                   • Representative material (if applicable), along with evaluative/interpretive  
2322                   comments from both the teaching-track faculty member and the supervisor.

2323                   ***e) Service to the University***

2324                   While teaching track positions may include required duties that would constitute  
2325                   service to their academic unit, service to the broader university is not required, but  
2326                   is encouraged if the faculty member's goal is promotion. Service should be listed  
2327                   and explained in the self-evaluation, and the faculty member should make sure  
2328                   such service is also addressed in the supervisor's evaluation.

2329                   Examples of departmental service may include: academic advising, peer  
2330                   mentoring, student organization advising, departmental committees, recruitment  
2331                   efforts (for students and faculty), departmental assessment, and others as defined  
2332                   by the academic unit.

2333                   Examples of university service might include: membership on University  
2334                   committees and councils, leadership positions and committee assignments within  
2335                   departments, schools, and other academic units. Both at the department and  
2336                   university levels, Illinois Wesleyan also recognizes less obvious service such as  
2337                   faculty mentoring (especially mentoring of students from under-represented  
2338                   groups and/or faculty from under-represented groups), support of student extra-  
2339                   curricular activities, student recruitment and retention, and above all, academic  
2340                   advising, which next to effective teaching, most directly affects the academic  
2341                   well-being of its students. In addition, a faculty member may fulfill service  
2342                   responsibilities through professional organizations which are directly related to  
2343                   the faculty member's field. In whatever form, service to the University is assessed  
2344                   by evidence of effective fulfillment of responsibilities, not merely by numbers of  
2345                   committee assignments or membership.

- 2346                   • The nature and extent of University service outside the department/school  
2347                   should be carefully explained in the self-evaluation.  
2348                   • Documentation should be in the form of notes for the individual's case file  
2349                   from committee/council chairs addressing the nature and value of the faculty  
2350                   member's service work.

2351                   ***f) Length of Candidate and Supervisor Evaluations***

2352                   The candidate's entire self-evaluation narrative should not exceed 10 pages, 12-  
2353                   point, double-spaced. Supervisor's evaluation should not exceed 8 pages, 12-  
2354                   point, double-spaced.

2355                   **5. Fourth-Year Review**

2356                   This review covers years 1 through 3, and is submitted in the fourth year.

2357                   ***a. Curriculum Vitae***

2358                   A Curriculum Vitae with a complete listing of professional achievements.

**b. Teaching**

Thoughtful self-assessment of one's development as a teacher, including strengths and areas of desired growth, and, if applicable, academic advising.

- Supervisor's assessment of teaching, supported by reports of the supervisor's classroom visits.
- Faculty member's and supervisor's reflections on student evaluations. To facilitate PAT's interpretation of student evaluation summaries in fourth and sixth year reviews, Deans, Chairs, and Directors, should keep on file the three most recent years of student evaluations for each faculty member. The evaluations themselves would be made available to PAT with advance notice to the faculty, only if, in PAT's opinion, raw data were necessary to render an appropriate judgment.
- Representative course syllabi and assignments, along with evaluative/interpretive comments from both the teaching track faculty member and the supervisor.
- In team teaching, evidence presented by the faculty member should specify the extent of each person's contribution.

**c. Scholarly/Artistic/Professional Growth and Achievement**

Teaching-track faculty are not expected to provide evidence of scholarly or creative work for either contract renewal or promotion; however, they are expected to remain current in their field. If they are active in scholarly or creative work, they are encouraged to include evidence of their contributions in their review and promotion materials.

- Evidences and materials of field currencies might include the following:
  - List of activities that indicate continued engagement in professional development.
  - List of professional development such as conference or professional workshop attendance, participation in discipline working groups, or an annotated bibliography of recent materials relevant to the faculty member's content area and/or pedagogical interests and goals.
  - Representative evidence such as: an article; a book; a videotape; a recording; a report of professional service to the community; a design; a photograph of an exhibition; a report of contributions to a professional organization; a report of participation as an editor or referee of a scholarly/artistic journal; software; commissioned work; open/educational resources; grant proposals to support scholarly/artistic activity submitted to external agencies, with evidence of a favorable review, even if not funded; and so forth.
- If an article or book proposal is accepted but will not be published until after the deadline, the faculty member is strongly encouraged to submit the letter of acceptance from the publisher, noting, if possible, an approximate publication date.
- The above list of potential evidence is not exhaustive and will vary according to the faculty member's discipline and his/her area of expertise.

2403                   ● Interpretation and assessment of the work by the faculty member's supervisor.

2404           *d.*   **Professional Practice and/or co-curriculum activity**

2405           These practices and activities should be evaluated if they are part of the contract.  
2406           Not all positions will include such a component.

2407           Teaching track faculty are hired for disciplinary expertise in the area. Supervisors  
2408           must consider those disciplinary areas of expertise in the same way they consider  
2409           scholarship.

2410           The onus is on the supervisor to explain what the candidate does and how it  
2411           would be evaluated in the field.

2412           Evidence of professional practice and/or co-curriculum support:

- 2413           ● Thoughtful self-assessment of one's development as the professional
- 2414           practitioner, including strengths and areas of desired growth.
- 2415           ● Supervisor's assessment of their professional practice on campus, supported
- 2416           by reports of the supervisor's evaluation in that area.
- 2417           ● Representative material (if applicable), along with evaluative/interpretive
- 2418           comments from both the teaching-track faculty member and the supervisor.

2419           *e.*   **Service to the University**

2420           University service is optional for contract renewal but is encouraged if the faculty  
2421           member's goal is promotion. Service should be listed and explained in the self-  
2422           evaluation, and the faculty member should make sure such service is also  
2423           addressed in the supervisor's evaluation.

2424           While teaching track positions may include required duties that would constitute  
2425           service to their academic unit, service to the broader university is not required, but  
2426           is encouraged if the faculty member's goal is promotion. Service should be listed  
2427           and explained in the self-evaluation, and the faculty member should make sure  
2428           such service is also addressed in the supervisor's evaluation.

2429           Examples of departmental service may include academic advising, peer  
2430           mentoring, student organization advising, departmental committees, recruitment  
2431           efforts (for students and faculty), departmental assessment, and others as defined  
2432           by the academic unit.

2433           Examples of university service might include membership on University  
2434           committees and councils, leadership positions and committee assignments within  
2435           departments, schools, and other academic units. Both at the department and  
2436           university levels, Illinois Wesleyan also recognizes less obvious service such as  
2437           faculty mentoring (especially mentoring of students from under-represented  
2438           groups and/or faculty from under-represented groups), support of student extra-  
2439           curricular activities, student recruitment and retention, and above all, academic  
2440           advising, which next to effective teaching, most directly affects the academic  
2441           well-being of its students. In addition, a faculty member may fulfill service  
2442           responsibilities through professional organizations which are directly related to  
2443           the faculty member's field. In whatever form, service to the University is assessed  
2444           by evidence of effective fulfillment of responsibilities, not merely by numbers of

committee assignments or membership.

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

**f. Optional Materials**

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

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

**g. Length of Candidate and Supervisor Evaluations**

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

**6. First Contract Renewal**

**a) Teaching**

Thoughtful self-assessment of one's development as a teacher, including strengths and areas of desired growth, and, if applicable, academic advising.

- Supervisor's assessment of teaching, supported by reports of the supervisor's classroom visits.
- Faculty member's and supervisor's reflections on student evaluations. To facilitate PAT's interpretation of student evaluation summaries in fourth and sixth year reviews, Deans, Chairs, and Directors should keep on file the three most recent years of student evaluations for each faculty member. The evaluations themselves would be made available to PAT with advance notice to the faculty, only if, in PAT's opinion, raw data were necessary to render an appropriate judgment.
- Representative course syllabi and assignments, along with

2486 evaluative/interpretive comments from both the teaching track faculty member  
2487 and the supervisor.

- 2488 ● Supporting letters from faculty colleagues who can comment on the faculty  
2489 member's work are essential at this point.
- 2490 ● In team teaching, evidence presented by the faculty member should specify  
2491 the extent of each person's contribution.

2492 **b) Scholarly/Artistic/Professional Growth and Achievement**

2493 Teaching-track faculty are not expected to provide evidence of scholarly or  
2494 creative work for either contract renewal or promotion; however, they are  
2495 expected to remain current in their field. If they are active in scholarly or creative  
2496 work, they are encouraged to include evidence of their contributions in their  
2497 review and promotion materials.

- 2498 ● Evidences and materials of field currencies might include the following:
  - 2499 ○ List of activities that indicate continued engagement in professional  
2500 development such as conference or professional workshop attendance,  
2501 participation in discipline working groups, or an annotated bibliography of  
2502 recent materials relevant to the faculty member's content area and/or  
2503 pedagogical interests and goals.
  - 2504 ○ Representative evidence such as an article; a book; a videotape; a  
2505 recording; a report of professional service to the community; a design; a  
2506 photograph of an exhibition; a report of contributions to a professional  
2507 organization; a report of participation as an editor or referee of a  
2508 scholarly/artistic journal; software; commissioned work; open/educational  
2509 resources; grant proposals to support scholarly/artistic activity submitted  
2510 to external agencies, with evidence of a favorable review, even if not  
2511 funded; and so forth.
- 2512 ● If an article or book proposal is accepted but will not be published until after  
2513 the deadline, the faculty member is strongly encouraged to submit the letter of  
2514 acceptance from the publisher, noting, if possible, an approximate publication  
2515 date.
- 2516 ● The above list of potential evidence is not exhaustive and will vary according  
2517 to the faculty member's discipline and his/her area of expertise.

2518 **c) Professional Practice and/or co-curriculum activity**

2519 These practices and activities should be evaluated if they are part of the contract.  
2520 Not all positions will include such a component.

2521 Teaching track faculty are hired for disciplinary expertise in the area. Supervisors  
2522 must consider those disciplinary areas of expertise in the same way they consider  
2523 scholarship.

2524 The onus is on the supervisor to explain what the candidate does and how it  
2525 would be evaluated in the field.

2526 Evidence of professional practice and/or co-curriculum support:

- 2527 ● Thoughtful self-assessment of one's development as the professional

- 2528 practitioner, including strengths and areas of desired growth.
- 2529 ● Supervisor's assessment of their professional practice on campus, supported
- 2530 by reports of the supervisor's evaluation in that area.
- 2531 ● Representative material (if applicable), along with evaluative/interpretive
- 2532 comments from both the teaching-track faculty member and the supervisor.

2533 **d) Service to the University**

2534 University service is optional for contract renewal but is encouraged if the faculty

2535 member's goal is promotion. Service should be listed and explained in the self-

2536 evaluation, and the faculty member should make sure such service is also

2537 addressed in the supervisor's evaluation.

2538 While teaching track positions may include required duties that would constitute

2539 service to their academic unit, service to the broader university is not required, but

2540 is encouraged if the faculty member's goal is promotion. Service should be listed

2541 and explained in the self-evaluation, and the faculty member should make sure

2542 such service is also addressed in the supervisor's evaluation.

2543 Examples of departmental service may include: academic advising, peer

2544 mentoring, student organization advising, departmental committees, recruitment

2545 efforts (for students and faculty), departmental assessment, and others as defined

2546 by the academic unit.

2547 Examples of university service might include: membership on University

2548 committees and councils, leadership positions and committee assignments within

2549 departments, schools, and other academic units. Both at the department and

2550 university levels, Illinois Wesleyan also recognizes less obvious service such as

2551 faculty mentoring (especially mentoring of students from under-represented

2552 groups and/or faculty from under-represented groups), support of student extra-

2553 curricular activities, student recruitment and retention, and above all, academic

2554 advising, which next to effective teaching, most directly affects the academic

2555 well-being of its students. In addition, a faculty member may fulfill service

2556 responsibilities through professional organizations which are directly related to

2557 the faculty member's field. In whatever form, service to the University is assessed

2558 by evidence of effective fulfillment of responsibilities, not merely by numbers of

2559 committee assignments or membership.

- 2560 ● The nature and extent of University service outside the department/school
- 2561 should be carefully explained in the self-evaluation.
- 2562 ● Documentation should be in the form of notes for the individual's case file
- 2563 from committee/council chairs addressing the nature and value of the faculty
- 2564 member's service work.

2565 **e) Optional Materials**

2566 No other materials are necessary. However, if a faculty member believes that

2567 some aspect of his/her teaching, scholarly/artistic/professional achievement, or

2568 service cannot be adequately documented by the materials listed above, the

2569 faculty member may choose to supplement the file with any additional materials

2570 that would help the members of PAT better understand the faculty member's

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

**f) Length of Candidate and Supervisor Evaluations**

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

**g) Other Criteria**

In addition to the above criteria, the candidate for contract renewal or promotion must be in at least the sixth year of full-time teaching in an accredited college or University. Whether time spent on leaves of absence will be counted in the probationary period should be stated in writing by the Provost. Finally, it should be recognized that contract renewal or promotion is not acquired automatically upon satisfactory completion of a given number of years of service, but upon an affirmative decision of the Board of Trustees.

**7. Subsequent Contract Renewals**

Teaching-track faculty positions are renewable, six-year appointments. While the responsibilities of these positions are primarily teaching, these positions may be renewed indefinitely without the implication of tenure. Every six years, teaching-track faculty and their supervisors will be given an opportunity to speak to the scope of the teaching-track faculty member's impact on the department/school and to the University as a whole. Documents required at each subsequent renewal are meant to provide an opportunity to highlight the efficacy and value of the teaching-track faculty member's position and individual performance.

**a) Curriculum Vitae**

A Curriculum Vitae with a complete listing of professional achievements.

**b) Supervisor's Letter**

Supervisors should reflect upon and contextualize the necessity of this position within the department/program/school and elaborate fully on the efficacy and achievements of the teaching track faculty member's performance within that position.



2609 **c) Candidate Narrative (optional)**

2610 A self-evaluation narrative is not required for subsequent contract renewals;  
2611 however, faculty members are invited to discuss accomplishments and  
2612 development in teaching during the current evaluation period. This could include  
2613 a discussion of current content and pedagogical interests and goals and a  
2614 discussion of content and/or professional growth during the current evaluation  
2615 period. Department and/or University service may be discussed if appropriate, as  
2616 well as any scholarly achievements with which the faculty member has  
2617 voluntarily engaged. The faculty member may choose to supplement the file with  
2618 any additional materials that would help the Provost better understand the faculty  
2619 member's expertise in the position.

2620 Contract Renewal portfolios are not meant to be sexennial repetitions of the first  
2621 contract renewal, but rather affirmations of the continued value of the role and  
2622 work that the teaching track faculty member fulfills and thus do not require the  
2623 same scope and length as first contract renewals. The candidate's entire self-  
2624 evaluation narrative should not exceed 15 pages, 12-point, double-spaced. The  
2625 supervisor's evaluation letter should not exceed 6 pages, 12-point, double-spaced.

2626 **8. Promotion**

2627 A teaching track faculty member has the right to apply for promotion at any time  
2628 during or after the first contract renewal cycle. Prior to renewal, a shortened review  
2629 clock that accounts for prior service and teaching may be negotiated with the Provost.

2630 **a) Curriculum Vitae**

2631 A Curriculum Vitae with a complete listing of professional achievements.

2632 **b) Teaching**

2633 Thoughtful self-assessment of one's development as a teacher, including strengths  
2634 and areas of desired growth, and, if applicable, academic advising.

- 2635 ● Supervisor's assessment of teaching, supported by reports of the supervisor's  
2636 classroom visits.
- 2637 ● Faculty member's and supervisor's reflections on student evaluations. To  
2638 facilitate PAT's interpretation of student evaluation summaries in fourth and  
2639 sixth year reviews, Deans, Chairs, and Directors should keep on file the three  
2640 most recent years of student evaluations for each faculty member. The  
2641 evaluations themselves would be made available to PAT with advance notice  
2642 to the faculty, only if, in PAT'S opinion, raw data were necessary to render an  
2643 appropriate judgment.
- 2644 ● Representative course syllabi and assignments, along with  
2645 evaluative/interpretive comments from both the teaching track faculty member  
2646 and the supervisor.
- 2647 ● The Provost's Office shall collect written comments from alumni/ae directly,  
2648 using a uniform set of questions developed by PAT and approved by the  
2649 General Faculty. Alumni/ae selected to participate shall include some chosen  
2650 randomly and some chosen by the faculty member. Evaluations from

alumni/ae shall be solicited in the following manner: (1) The university shall identify fifteen alumni/ae by a random process of selection from former IWU students of the six previous years; (2) This list of fifteen shall be submitted to the faculty member, and they he/she may eliminate up to five names from the list and substitute the names of five alumni/ae. The total number of alumni/ae letters will be fifteen, restricted to the start date of the contract appointment. If the number of alumni/ae is not sufficient to meet this requirement, the candidate, supervisor, Provost, and PAT may develop an alternative requirement on a case-by-case basis to be determined by April 1. If the candidate is under a shorter clock than six years and served IWU in another position, the faculty member may choose IWU alumni/ae from their previous position.

- In team teaching, evidence presented by the faculty member should specify the extent of each person's contribution.
- Interpretation and evaluation of the faculty member's achievements from two external evaluators of the faculty member's choice outside the University. Faculty members should choose external evaluators who have demonstrable standing in the field. If an academic is selected, under most circumstances the evaluator should be at or above the rank to which the candidate is seeking promotion. Evaluators must be in a position to give independent judgment about the candidate, free from conflict of interest. Because candidates must demonstrate that their work is respected in their field, letters from dissertation directors and reviewers with a close personal connection to the candidate are not appropriate. Faculty members should forward names of external evaluators to the Provost's Office in accordance with the Evaluation Calendar for Promotion. Fewer than two letters may be permitted under extenuating circumstances.

**c) Scholarly/Artistic/Professional Growth and Achievement**

Teaching-track faculty are not expected to provide evidence of scholarly or creative work for either contract renewal or promotion; however, they are expected to remain current in their field. If they are active in scholarly or creative work, they are encouraged to include evidence of their contributions in their review and promotion materials.

- Evidences and materials of field currencies might include the following:
  - List of professional development activities such as conference or professional workshop attendance, participation in discipline working groups, an annotated bibliography of recent materials relevant to the faculty member's content area and/or pedagogical interests and goals, and so forth.
  - Representative evidence such as an article; a book; a videotape; a recording; a report of professional service to the community; a design; a photograph of an exhibition; a report of contributions to a professional organization; a report of participation as an editor or referee of a scholarly/artistic journal; software; commissioned work; open/educational resources; grant proposals to support scholarly/artistic activity submitted

2696 to external agencies, with evidence of a favorable review, even if not  
2697 funded; and so forth.

- 2698 • If an article or book proposal is accepted, but will not be published until after  
2699 the deadline, the faculty member is strongly encouraged to submit the letter of  
2700 acceptance from the publisher, noting, if possible, an approximate publication  
2701 date.
- 2702 • The above list of potential evidence is not exhaustive and will vary according  
2703 to the faculty member's discipline and his/her area of expertise.

2704 **d) Professional Practice and/or co-curriculum activity**

2705 These practices and activities should be evaluated if they are part of the contract.  
2706 Not all positions will include such a component. Teaching track faculty are hired  
2707 for disciplinary expertise in the area. Supervisors must consider those disciplinary  
2708 areas of expertise in the same way they consider scholarship.

2709 The onus is on the supervisor to explain what the candidate does and how it  
2710 would be evaluated in the field.

2711 Evidence of professional practice and/or co-curriculum support:

- 2712 • Thoughtful self-assessment of one's development as the professional  
2713 practitioner, including strengths and areas of desired growth.
- 2714 • Supervisor's assessment of their professional practice on campus, supported  
2715 by reports of the supervisor's evaluation in that area.
- 2716 • Representative material (if applicable), along with evaluative/interpretive  
2717 comments from both the teaching-track faculty member and the supervisor.

2718 **e) Service to the University**

2719 Contributions of service beyond the home academic unit are optional for contract  
2720 renewal; however university-wide service is expected for promotions in rank and  
2721 should be listed and explained in the self-evaluation, and the faculty member  
2722 should make sure such service is also addressed in the supervisor's evaluation.

2723 While the University realizes that the extent of an individual's involvement in  
2724 institutional service can only be judged within the limits of the facilities,  
2725 resources, and time available to IWU faculty members, it nevertheless expects  
2726 that every faculty member demonstrate willingness and ability to share in those  
2727 collegial responsibilities necessary to the effective functioning of the institution.

2728 Examples of such responsibilities might include membership on University  
2729 committees and councils, leadership positions and committee assignments within  
2730 departments, schools, and other academic units. Illinois Wesleyan also recognizes  
2731 less obvious service such as faculty mentoring (especially mentoring of students  
2732 from under-represented groups and/or faculty from under-represented groups),  
2733 support of student extra-curricular activities, student recruitment and retention,  
2734 and above all, academic advising, which next to effective teaching, most directly  
2735 affects the academic well-being of its students. In addition, a faculty member may  
2736 fulfill service responsibilities through professional organizations which are  
2737 directly related to the faculty member's field. In whatever form, service to the

2738 University is assessed by evidence of effective fulfillment of responsibilities, not  
2739 merely by numbers of committee assignments or membership.

- 2740 • The nature and extent of University service outside the department/school  
2741 should be carefully explained in the self-evaluation.
- 2742 • Documentation should be in the form of notes for the individual's case file  
2743 from committee/council chairs addressing the nature and value of the faculty  
2744 member's service work.

2745 **f) Length of Candidate and Supervisor Evaluations**

2746 The candidate's entire self-evaluation narrative should not exceed 25 pages, 12-  
2747 point, double-spaced. The supervisor's evaluation should not exceed 8 pages, 12-  
2748 point, double-spaced.

2749 **g) Optional Materials**

2750 No other materials are necessary. However, if a faculty member believes that  
2751 some aspect of his/her teaching, scholarly/artistic/professional achievement, or  
2752 service cannot be adequately documented by the materials listed above, the  
2753 faculty member may choose to supplement the file with any additional materials  
2754 that would help the members of PAT better understand the faculty member's  
2755 progress.

2756 While community service activities are not requirements for tenure contract-  
2757 renewal or advancement, some such activities could well be documented to  
2758 supplement University service in the faculty member's case files. Faculty  
2759 members should solicit statements from knowledgeable people to the effect that  
2760 the service work was valuable to the community and that it was in the faculty  
2761 member's professional field. It is understood that there may be situations in which  
2762 soliciting such an endorsement from sources outside the University could lead to  
2763 misunderstandings. Still, for service to be credited, some sort of documentation is  
2764 normally necessary, and full explanation should be provided of the reason for the  
2765 absence of documentation.

2766 **h) Other Criteria**

2767 In addition to the above criteria, the candidate for contract renewal or promotion  
2768 must be in at least the sixth year of full-time teaching in an accredited college or  
2769 University. Whether time spent on leaves of absence will be counted in the  
2770 probationary period should be stated in writing by the Provost. Finally, it should  
2771 be recognized that contract renewal or promotion is not acquired automatically  
2772 upon satisfactory completion of a given number of years of service, but upon an  
2773 affirmative decision of the Board of Trustees.

2774 Under compelling circumstances, and in consultation with the faculty member  
2775 and the Provost, a supervisor may designate another faculty member to write  
2776 addressing any part of a case: teaching, duties, and/or service. When a supervisor  
2777 elects this option, they should submit a letter as part of the case articulating the  
2778 compelling circumstances and the appropriateness of the designee. In all cases,  
2779 the candidate shall have the opportunity to read the supervisor's letter (or the

2780 designee's letter) and to sign the letter indicating that they had read it and  
2781 understand that they had the opportunity to respond, in writing, directly to PAT.

2782 **i) Advancement in Academic Rank for Teaching-Track Faculty**

2783 For advancement, continued progress commensurate with years of service at  
2784 Illinois Wesleyan is expected in all the areas of teaching,  
2785 scholarly/artistic/professional achievement, and service. However, the University  
2786 realizes that there is no single mold in which all faculty are cast, and that it is  
2787 therefore appropriate for different individuals to demonstrate special growth,  
2788 vitality, and excellence in different ways. In light of this, advancement will  
2789 always take into account the candidate's particular strengths and total value of the  
2790 individual's contribution to the University.

2791 ***Instructor***

2792 The rank of Instructor is awarded to those teaching-track faculty members who  
2793 have not yet earned the appropriate terminal degree.

2794 ***Senior Instructor***

2795 The rank of Senior Instructor is awarded to teaching-track faculty members who  
2796 have not earned an appropriate terminal degree but who have served with  
2797 distinction for many years. Promotion to this rank requires a sustained record of  
2798 teaching excellence, dedicated service to the university, and evidence of  
2799 continued professional development.

2800 ***Assistant Professor***

2801 The rank of Assistant Professor is awarded to those members of the faculty who  
2802 have earned the appropriate terminal degree.

2803 ***Associate Professor***

2804 Successful candidates for promotion to Associate Professor must meet the  
2805 standards of effective teaching current content knowledge and University service  
2806 set out. Promotion to this rank requires excellence in teaching and significant  
2807 contributions to the institution. Self-directed development is expected in this rank.

2808 ***Professor***

2809 Successful candidates for promotion to Professor must have reached a level of  
2810 professional distinction such that they have achieved recognition from colleagues  
2811 both within the University and in the broader professional community. As  
2812 teachers, they must demonstrate the ability to work with students at all levels,  
2813 challenging individuals of different ability and motivation to develop their  
2814 intellectual and/or artistic strengths. The faculty member at this level must be a  
2815 proven leader within the institution, serving as a role model for other faculty and  
2816 for students.

2817 ***Emeritus/a Status***

2818 The designation emeritus/a is added to the rank of retiring tenured or teaching-  
2819 track faculty who have served the University for at least ten (10) years.

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

### **1. Effective Librarianship**

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

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

### **2. Scholarly/Artistic Achievement**

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

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

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

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

will involve engagement with the profession beyond the institution. Among those activities that may be considered appropriate examples of scholarly/artistic achievement are the following:

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

### **3. Service to the University**

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

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

### **4. Other Criteria**

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

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

### **5. Advancement in Academic Rank**

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

2904 strengths and total value of the individual's contribution to the University.

2905 ***Rank of Assistant Professor***

2906 The rank of Assistant Professor is awarded to those members of the faculty who have  
2907 earned the terminal degree.

2908 ***Rank of Associate Professor***

2909 Successful candidates for promotion to Associate Professor must meet the standards  
2910 of effective librarianship, scholarly achievement, and University service set forth for  
2911 tenure. Promotion to this rank requires excellence in librarianship and significant  
2912 contributions to the institution and the profession. Self-directed development is  
2913 expected in this rank.

2914 ***Rank of Professor***

2915 Successful candidates for promotion to Professor must have reached a level of  
2916 professional distinction such that they have achieved recognition from colleagues  
2917 both within the University and in the broader professional community. As librarians,  
2918 they must demonstrate the ability to work with students and faculty at all levels, and  
2919 enable IWU students to develop their intellectual strengths and critical thinking skills.  
2920 The faculty member at this level must be a proven leader within the institution,  
2921 serving as a role model for other faculty and for students.

2922 **6. Evaluation Materials**

2923 The summaries on the pages that follow list the documentation required and/or  
2924 recommended for the stages of a faculty member's on-going review for tenure and  
2925 promotion. They supplement the criteria outlined in separate sections on tenure and  
2926 advancement; candidates should consider them in conjunction with that information.

2927  
2928 As the details on these summaries specify, different materials are helpful to the  
2929 Promotion and Tenure Committee at different intervals in a faculty member's  
2930 ongoing review for tenure and advancement. In the scheduled yearly reviews for  
2931 probationary faculty (see "Evaluation Calendar") and routine reviews of tenured  
2932 faculty, for example, no interpretation and evaluation of the person's teaching,  
2933 scholarly/artistic achievement, or service to the University need be offered beyond  
2934 those of the faculty member, of the faculty member's supervisor, and, with regard to  
2935 teaching, of current students (except as noted in the document). PAT does not expect  
2936 that faculty members at those junctures will submit letters from alumni/ae,  
2937 representative evidence of scholarly/artistic achievement, or letters concerning their  
2938 work from colleagues on committees with them or at other universities.

2939  
2940 In the Major Pre-Tenure Review, however, PAT conducts an assessment of the  
2941 faculty member's progress toward tenure. The emphasis here is on progress: PAT is  
2942 well aware that the expectations for a pre-tenure faculty member are not equivalent to  
2943 those for a tenure candidate. As the Personnel Council stated in a memo of 22 April



1994, “[T]here would still be ample time for the committee to give constructive feedback to the candidate so that she or he could develop further before making a case for tenure.” To make the best use of that review and to receive the most helpful feedback from PAT, the faculty member should strive at this point to accomplishments to date in the context of larger goals and strategies for development. The materials requested, then, are more extensive, including, for example, representative samples of scholarly/artistic achievement. PAT seeks interpretation and evaluation of the faculty member’s work drawn from a slightly broader base within the University community (as noted) in order to make a more thorough and thoughtful evaluation of the faculty member’s situation but does not, at this stage, seek letters from those outside the University community.

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

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

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

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

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

*Curriculum Vitae*

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

*Effective Librarianship*

- 2988
- 2989
- 2990
- 2991
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- 2995
- 2996
- 2997
- 2998
- Thoughtful self-assessment of one's development as a librarian, including strengths and areas of desired growth.
  - Supervisor's assessment of effective librarianship, supported by analysis of areas of concentration
  - Reports of supervisor's classroom visits, representative instructional syllabi and assignments, as well as reflections on student evaluations of instruction sessions, along with evaluative/interpretive comments from both the faculty member and the supervisor (or the supervisor's designee). In team teaching, evidence presented by the faculty member should specify the extent of each person's contribution.

2999 *Scholarly/Artistic Achievement*

- 3000
- 3001
- 3002
- 3003
- 3004
- Faculty member's self-evaluation of his/her achievements and their contributions.
  - Interpretation and assessment of the work by the faculty member's supervisor or the supervisor's designee.

3005 *Service*

- 3006
- 3007
- 3008
- 3009
- 3010
- 3011
- In-department service, all-University service, and relevant community service (if any) should be referred to in the self-evaluation, with such explanation as may seem necessary to clarify and assess the extent and importance of the service. No documentation is required.
  - Supervisor's assessment of the extent and importance of all relevant service.

3012 *Length of Candidate and Supervisor Evaluations*

3013 The candidate's entire self-evaluation narrative should not exceed 10 pages, 12-

3014 point, double-spaced. Supervisors' evaluations should not exceed 8 pages, 12-

3015 point, double-spaced.

3016 *Optional Materials*

3017 No other materials are necessary. However, if a faculty member believes that

3018 some aspect of their librarianship, scholarly/artistic achievement or service cannot

3019 adequately be documented by the materials listed above, the faculty member may

3020 choose to supplement the file with any additional materials that would help the

3021 members of PAT better understand her/his progress toward tenure or promotion.

3022

3023 **b) Major Pre-Tenure Review Materials**

3024 *Curriculum Vitae*

3025 A curriculum vitae with a complete listing of professional achievements.

3026 *Effective Librarianship*

- 3027
- 3028
- 3029
- 3030
- Thoughtful self-assessment of one's development as a librarian, including strengths and areas of desired growth.
  - Supervisor's assessment of effective librarianship, supported by analysis of areas of concentration

- Reports of supervisor's classroom visits, representative instructional syllabi and assignments, as well as reflections on student evaluations of instruction sessions, along with evaluative/interpretive comments from both the faculty member and the supervisor (or the supervisor's designee). In team teaching, evidence presented by the faculty member should specify the extent of each person's contribution.

#### *Scholarly/Artistic Achievement*

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

#### *Service*

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

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

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

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

3077  
3078 *Optional Materials*  
3079 No other materials are necessary. However, if a faculty member believes that  
3080 some aspect of her/his teaching, scholarly/artistic achievement, or service cannot  
3081 adequately be documented by the materials listed above, the faculty member may  
3082 choose to supplement the file with any additional materials that would help the  
3083 members of PAT better understand her/his progress toward tenure.

3084 **c) Tenure/Promotion Materials**

3085 *Curriculum Vitae*

3086 A curriculum vitae with a complete listing of professional achievements.

3087

3088 *Effective Librarianship*

- 3089 ● Thoughtful self-assessment of one's development as a librarian, including  
3090 strengths and areas of desired growth.
- 3091 ● Supervisor's assessment of effective librarianship, supported by analysis of  
3092 areas of concentration
- 3093 ● Reports of supervisor's classroom visits, representative instructional syllabi  
3094 and assignments, as well as reflections on student evaluations of instruction  
3095 sessions, along with evaluative/interpretive comments from both the faculty  
3096 member and the supervisor (or the supervisor's designee). In team teaching,  
3097 evidence presented by the faculty member should specify the extent of each  
3098 person's contribution.

3099 *Scholarly/Artistic Achievement*

- 3100 ● What has the faculty member achieved? Materials addressing this question  
3101 should identify and give evidence of achievements. Materials should include:
- 3102 ○ Representative evidence such as an article; a book; a videotape; a  
3103 recording; a report of professional service to the community; a design; a  
3104 photograph of an exhibition; a report of contributions to a professional  
3105 organization; a report of participation as an editor or referee of a  
3106 scholarly/artistic journal; software; commissioned work; open/educational  
3107 resources; grant proposals to support scholarly/artistic activity submitted  
3108 to external agencies, with evidence of a favorable review, even if not  
3109 funded; and so forth.
- 3110 ○ If an article or book proposal is accepted, but will not be published until  
3111 after the deadline, the faculty member is strongly encouraged to submit the  
3112 letter of acceptance from the publisher, noting, if possible, an approximate  
3113 publication date. The above list of potential evidence is suggestive, not  
3114 exhaustive, and will vary according to the faculty member's discipline and  
3115 her/his area of expertise.
- 3116 ● What is the impact of the faculty member's work? Materials addressing this  
3117 question should be interpretive and evaluative—that is, they should assess the  
3118 contribution to the faculty member's field. Materials should include:
- 3119 ● The faculty member's interpretation and evaluation of her/his work.

- Interpretation and evaluation of the work by faculty member's supervisor or the supervisor's designee.
- Interpretation and evaluation of the faculty member's achievements from two colleagues of the faculty member's choice outside the University. Faculty members should choose external evaluators who have demonstrable standing in the field. If an academic is selected, under most circumstances the evaluator should be at or above the rank to which the candidate is seeking promotion. Reviewers must be in a position to give independent judgment about the candidate, free from conflict of interest. Because candidates must demonstrate that their work is respected in their field, letters from dissertation directors and reviewers with a close personal connection to the candidate are not appropriate. Faculty members should forward the names of external evaluators to the Provost's Office in accordance with the Evaluation Calendar for Tenure and Advancement.

#### *Service*

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

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

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

#### *Optional Materials*

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

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

from sources outside the University could lead to misunderstandings. Still, for service to be credited, some sort of documentation is normally necessary, and full explanation should be provided of the reason for the absence of documentation.

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

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

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

The following materials submitted for PAT are due in the Athletic Director's Office by 1 November and in the Provost's Office by 1 December (or the Monday following if 1 December falls on a weekend)."

- Résumé listing relevant educational background, work experience, and major professional activities and achievements
- Evaluation of coaching by the Athletic Director
- Evaluation of teaching Physical Education classes by the Chair of Physical Education and/or evaluation of teaching by the chair of the unit in which the candidate teaches
- Detailed and reflective self-evaluation. See below for detailed criteria.

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

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

#### *Optional Materials*

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

### **2. Promotion Review Materials**

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

- Résumé listing relevant educational background, work experience, and major professional activities and achievements
- Self-evaluation following the criteria listed below.
- Evaluation of coaching by the Athletic Director

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

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

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

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

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

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

strengths, and areas of desired growth. Part I is the most significant area of evaluation and should receive the most attention in your self-evaluation, followed by Part II (if applicable), followed by Part III.

**a) Part I - Areas Related to Athletic Coaching**

- Effectiveness in recruiting student-athletes.

Provide a thoughtful description of recruiting strategies, philosophy, recruiting efforts, and goals. Evaluate recruiting effectiveness for one's sport(s), including identifying prospective student-athletes' with the academic ability, character, and academic credentials necessary for admission to Illinois Wesleyan University. Include a detailed assessment of one's overall effectiveness in guiding and assisting prospective student-athletes in making their college choice.

- The academic success of your student-athletes at IWU

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

- The quality of teams and coaching effectiveness.

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

**b) Part II - Teaching**

Provide a thoughtful self-assessment of teaching, including strengths and areas of desired growth. Discuss representative courses taught and any significant contribution to other courses at IWU. For example, coaches/faculty need to distinguish between physical education activity courses, physical education theory courses, and other courses taught (if applicable). For each class discussed, evaluate your classroom preparation, subject matter competence, classroom effectiveness, and overall ability to communicate the content and teach the skills of your discipline. This reflective self-evaluation should include reflection on student course evaluations. In addition, describe any challenges that were faced and how they were addressed. If the coach/faculty experimented with any new



3291 pedagogical approaches or made substantial revisions in course content, provide a  
3292 context and supporting evidence behind the motivation for the changes and  
3293 evaluate how well those efforts worked. For team teaching, coaches/faculty  
3294 should specify the extent of their contribution in relation to the overall course  
3295 design.

3296 **c) Part III - Professional Development and Service**

3297 **● Professional development**

3298 Thoughtfully evaluate your professional activities at IWU. These might include  
3299 publications; participation in coaching clinics, in professional conferences, or in  
3300 camps; and speaking engagements to colleagues in the profession. Describe and  
3301 evaluate continuing development of working relations with high school, college,  
3302 or professional coaches in relevant sports. If applicable, comment on any  
3303 continuing formal and informal education related to one's development as a  
3304 teacher of physical education courses. In general, consider how these activities  
3305 contribute to one's continuing development as a professional.

3306 **● Service on and off campus**

3307 Describe and evaluate other service on campus. Examples might include working  
3308 with the Development Office and/or Admissions Office, speaking to alumni  
3309 groups, and/or engaging in university committees. Where appropriate, also  
3310 include any community activities such as speaking engagements to civic groups  
3311 or to groups of high school students, volunteer work, or related activities that  
3312 reflect positively on the University by virtue of one's prominence as a university  
3313 coach.

3314 **H. Review and Promotion of Athletic Trainer**

3315 Athletic Trainers are expected to undergo periodic reflection and self-evaluation that is  
3316 reviewed by PAT. The information below is meant to guide the process in preparation of  
3317 materials necessary for these reviews. These reviews occur on the following schedule:  
3318 first year, fourth year, and every fourth year thereafter.  
3319

3320 **1. Regular PAT (first-year, fourth-year, and periodic) Review**  
3321 **Materials**

3322 The following materials must be submitted for PAT reviews. The materials for  
3323 regular PAT reviews are due in the Athletic Director's Office by 1 November and in  
3324 the Provost's Office by 1 December (or the Monday following if 1 December falls on  
3325 a weekend).  
3326

- 3327 ● Résumé listing relevant educational background, work experience, and major
- 3328 professional achievements
- 3329 ● Detailed and reflective self-evaluation, as outlined below
- 3330 ● Evaluation of athletic training responsibilities by the Athletic Director

- Evaluation of teaching physical education classes Chair of Physical Education and/or evaluation of teaching by the chair of the unit in which the candidate teaches

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

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

## **2. Promotion Review Materials**

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

- Résumé listing relevant educational background, work experience, and major personal achievements.
- Reflective self-evaluation following the criteria listed below.
- Evaluation of athletic training by the Athletic Director.
- If applicable, supervisor's evaluation of teaching physical education classes or evaluation of teaching by the chair of the unit in which the candidate teaches.
- Written comments from alumni (former players worked with and, if applicable, students from physical education courses taught) collected directly by the Provost's Office, using a uniform set of questions developed by PAT. Alumni selected to participate shall include some chosen randomly and some chosen by the candidate. Evaluations from alumni shall be solicited in the following manner: Five alums, both student-athletes and, if applicable, students, shall be chosen by the candidate; fifteen alumni shall be chosen by a random process, by the Registrar's Office, from former student-athletes (13 alumni from former players worked with) and, if applicable, from former students (2 alumni from courses taught) of the previous six years. This list of fifteen shall be submitted to the candidate. The candidate then may eliminate as many as five names from the list, replacing former student-athletes with former student-athletes and, if applicable, former students with former students. The Registrar shall inform PAT of the academic record of all alumni solicited.
- Interpretation and evaluation of the candidate's achievements and contributions from two colleagues with no connection to the University and an appropriate professional distance from the candidate of the candidate's choice. Candidates should forward names of external evaluators to the Provost's Office in accordance with the Evaluation Calendar for Tenure and Advancement.
- Evidence of professional involvement in service activity on- and off-campus related to the area of professional expertise.

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

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

### **3. Faculty Self-Evaluation guidelines for the IWU Athletic Trainers**

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

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

#### **a) Part I - Areas Related to Athletic Training**

Note: progress in this area also evaluated by the Athletic Director.

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

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

- **Quality of your athletic training services.**

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

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

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

- 3412 **b) Part II - If applicable, teaching in physical education or other courses**
- 3413 Note: progress in this area also evaluated by the Chair of the Physical Education
- 3414 Department or chair of the unit in which the candidate teaches
- 3415 Provide a thoughtful self-evaluation of one's teaching, including strengths and
- 3416 areas of desire growth. Discuss representative courses taught and any significant
- 3417 contribution to other courses at IWU. For example, athletic trainers need to
- 3418 distinguish between physical education activity courses, physical education theory
- 3419 courses, and other courses that you teach (if applicable). For each class discussed,
- 3420 evaluate classroom preparation, subject matter competence, classroom
- 3421 effectiveness, and overall ability to communicate the content and teach the skills
- 3422 of the discipline. This reflective self-evaluation should include a reflection on
- 3423 student course evaluations. In addition, describe any challenges that were faced
- 3424 and how they were addressed. If the athletic trainer experimented with any new
- 3425 pedagogical approaches or made substantial revisions in course content, provide a
- 3426 context and supportive evidence behind the motivation for the changes and
- 3427 evaluate how well those efforts worked. For team teaching, athletic
- 3428 trainers/faculty should specify the extent of their contributions in relation to the
- 3429 overall course design.
- 3430 **c) Part III - Professional development and service**
- 3431 Note: progress in this area also evaluated by the Athletic Director.
- 3432 **• Professional development and responsibility**
- 3433 It is noted that you must maintain Continuing Education Units for National
- 3434 Association of Athletic Trainers Certification and maintain your licensure.
- 3435 Comment on any continuing formal and informal education related to your
- 3436 development/certification/licensure as an athletic trainer and to your
- 3437 development as a teacher of physical education courses. Describe and evaluate
- 3438 any additional professional activities for the review period, such as,
- 3439 participation in athletic training clinics, in professional conferences or in
- 3440 camps, giving speaking engagements to colleagues in the profession and/or
- 3441 publications. Provide a thoughtful assessment of any ongoing engagement
- 3442 with colleagues in the field, both locally and in the broader profession.
- 3443 Explain how these efforts are contributing to one's continuing development as
- 3444 a professional.
- 3445 **• Service on and off campus**
- 3446 List and comment on other service on campus. Examples might include
- 3447 working with the Development Office and/or Admissions Office, speaking to
- 3448 alumni groups, and/or engaging in university committees. Where appropriate,
- 3449 also include any community activities such as speaking engagements to civic
- 3450 groups or to groups of high school students, volunteer work, or related
- 3451 activities that reflect positively on the University by virtue of your
- 3452 prominence as a university athletic trainer.

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

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

## **I. Criteria for the Advancement of Coaches and Athletic Trainers**

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

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

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

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

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

### **2. (If applicable) Teaching responsibilities**

Coaches/athletic trainers with teaching responsibilities should demonstrate:

- Commitment to teaching responsibilities.
- Effectiveness in stimulating students' intellectual development.
- Support of the Physical Education Department's curriculum and the university's general education requirements.

- 3494 ● Effective supervision and administration of course content.
- 3495 ● Ongoing evaluation and recording of student progress.

### 3496 **3. Professional achievement.**

3497 Candidates under consideration for promotion in rank must submit more substantial  
3498 promotion materials than for an annual review. These materials include a more  
3499 extensive self-evaluation with supporting documentation in comparison to annual  
3500 review materials. The interpretive and evaluative emphases should be on the faculty  
3501 member's achievements (as opposed to development) in the categories of coaching  
3502 and/or athletic training, teaching (where appropriate), scholarly achievement, and  
3503 professional/University service.

3504  
3505 The University distinguishes between professional development and professional  
3506 achievement in considering a faculty member's promotion. Development refers to  
3507 continuing study and engagement—a refinement of the individual's ability to engage  
3508 the issues of their profession at more advanced stages. That might take the form, for  
3509 example, of participation in specialized or advanced course work, attendance at  
3510 workshops, or participation in internships. Professional achievement goes beyond  
3511 individual development and refers to visible engagement with one's discipline in  
3512 efforts to extend the bounds of knowledge and/or refine the practice or application.  
3513 Professional achievement is necessary for promotion and involves the sharing of  
3514 results and making contributions to the broader professional community beyond  
3515 Illinois Wesleyan University. These contributions may take a variety of forms,  
3516 including but not limited to:

- 3517 ● Formal presentations at coaching clinics and/or professional meetings.
- 3518 ● Publication of articles in professional journals.
- 3519 ● Participation in CCIW conferences or NCAA committees.
- 3520 ● Active involvement in state, regional, or national coaching organizations.
- 3521 ● Involvement in on and off-campus service activities related to the coach's area of  
3522 expertise.
- 3523 ● Maintaining essential licensure and Continuing Education Units for NATA  
3524 Certification (athletic trainer).

3525 Note: Each successive level of advancement will be held to progressively higher  
3526 standards of expectation.

### 3527 **4. Advancement in Rank**

3528 In addition to the above criteria, the candidate for promotion must be (a) above the  
3529 rank of instructor and, (b) except under extraordinary circumstances, must be in at  
3530 least their sixth year of full-time employment at Illinois Wesleyan University.  
3531 Whether time spent on leaves of absence or time spent at other accredited colleges or  
3532 universities will be counted in this time period should be stated in writing by the  
3533 Provost.

3534  
3535 ***Rank of Assistant Professor***

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

***Rank of Associate Professor***

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

***Rank of Professor***

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

***Emeritus/a Status***

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

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

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

- **8 September or the Monday following if 8 September falls on a weekend:** Self-evaluations for faculty being considered for tenure and/or promotion are due to the supervisor.
- **8 October or the Monday following if 8 October falls on a weekend:** Supervisor's letter is due to the candidate being considered for tenure and/or promotion.
- **15 October:** All recommendations, evaluations, responses, and supplemental material for promotion and tenure candidates are due in the Office of the Provost. Candidates for tenure and promotion are responsible for checking to see that their files are complete. Faculty are directed to submit electronic copies of their CV and self-evaluation to the Provost's Office, and supervisors are directed to submit electronic copies of their letter electronically as well.
- **1 November:** Scheduled yearly self-evaluations from probationary faculty are due to supervisors.
- **1 December (or the Monday following if 1 December falls on a weekend):** Scheduled yearly self-evaluations and supervisor's evaluations of probationary faculty are due to the Office of the Provost. Faculty members are responsible for seeing that their files are complete. Faculty are directed to submit electronic copies of their CV and self-evaluation to the Provost's Office, and supervisors are directed to submit electronic copies of their letter electronically as well.
- **First day of classes in the spring semester:** Self-evaluations for faculty members submitting files for Major Pre-Tenure Review are due to the supervisor.
- **31 January or the Monday following if 31 January falls on a weekend:** All recommendations, evaluations, responses and supplemental materials for faculty members undergoing Major Pre-Tenure Review are due in the Office of the Provost. Faculty members are responsible for checking to see that their files are complete. Faculty are directed to submit electronic copies of their CV and self-evaluation to the Provost's Office, and supervisors are directed to submit electronic copies of their letter electronically as well.

*Definition of Evaluation Periods:*

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

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



## **K. Promotion and Tenure Committee Procedures**

### **1. Election of Officers**

The Promotion and Tenure Committee (PAT) shall convene for its organizational meeting within twenty-one (21) days of its election. The Chair from the preceding year shall preside. The committee at this time shall elect its Chair and its Vice Chair. The Provost shall sit with the Promotion and Tenure Committee during all of its deliberations.

### **2. Duties of the Chair**

The Chair is responsible for setting the calendar for hearing of cases and the agendas for individual meetings of the Committee. The Chair also represents the Committee in faculty meetings wherein reports should be given regularly. At the conclusion of deliberations, the Chair (with the assistance of the Vice Chair) will draft letters to individual faculty members stating the Committee's recommendations regarding tenure and advancement. Letters are also drafted which summarize Committee response to major pre-tenure reviews and annual review of probationary faculty. Based on the recommendations of the PAT members, the Chair shall inform the President's office of the specific recommendations of individual faculty members regarding tenure and advancement.

### **3. Duties of the Vice Chair.**

The Vice Chair will assume the duties of the Chair in the absence of the Chair. The Vice Chair will aid the Chair with all of the responsibilities outlined above. Specifically, the Vice Chair is available to assist with the writing of letters to faculty regarding Committee decisions and evaluations.

### **4. Duties of the Committee Members**

All Committee members are expected to read and take notes about all cases under consideration and to participate in discussions as noted under Conduct of Business.

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

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

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

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

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

## **5. Meetings and Regular Structure**

The Promotion and Tenure Committee will be called into session by its Chair during the fall semester each year. The Chair will suggest an agenda for the meetings and schedule future meetings. A major part of the Committee's work is reviewing files of faculty under consideration for tenure and promotion and making recommendations to the President. The Committee will also deliberate on candidates for the University Teaching Award for the purpose of making a recommendation to the President.

## **6. Conduct of Business**

All members of the Committee will review thoroughly the files of faculty under consideration for tenure, promotion, and reappointment. The Chair [or his/her designee] will then invite discussion among Committee members for the purpose of arriving at a recommendation to the President. Any member of the Committee, with the exception of the Provost, who is chiefly responsible for the written evaluation of a faculty member will be excused from the meeting when the faculty member's file is presented and discussed. Any Committee member under consideration for annual review will be excused from the meeting when his/her file is presented and discussed. As a matter of working policy, PAT Committee members have always attempted to reach a consensus on all recommendations for tenure and promotion. If, after much deliberation, it is determined that a consensus is not possible and if the Committee is evenly divided, PAT has established the following policy: a tie vote will result in a negative recommendation to the President for tenure and/or promotion. In the event that the Committee is divided, the President may informally poll the members of the Committee to ascertain their positions.

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

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

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

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

## **7. Reviews of Committee Recommendations.**

A faculty member considering filing a Petition of PAT due process violations should first consult with the Provost to discuss his or her concerns. If this meeting fails to reach a mutually acceptable conclusion, the faculty member should then proceed to filing a written Petition with the Hearing Committee Chair. This Petition should be filed within 60 calendar days of the official notification by the PAT Committee regarding its recommendation to the President.

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

that PAT rehear the case or that the Hearing Committee has found insufficient grounds for such a recommendation.

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

Confidentiality of PAT's earlier deliberations shall be preserved.

## 8. Promotion and Tenure Records Management Policy

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

*Definitions from "Records Management at Illinois Wesleyan University":*

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

*Documents consulted in the creation of this policy:*

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

| Document              |                      |                  |                 |                     | Action by who/when    |                      |                  |
|-----------------------|----------------------|------------------|-----------------|---------------------|-----------------------|----------------------|------------------|
| Records group         | Official copy holder | Retention Period | Retention Event | Retention Authority | Destruction           | Permanently Retained | Archives/Accepts |
| Agenda, full semester | Committee            | Current          | --              | --                  | Chair/end of semester | --                   | --               |

|                             |                  |           |                            |                          |                                |   |   |
|-----------------------------|------------------|-----------|----------------------------|--------------------------|--------------------------------|---|---|
| Agenda, meetings            | Committee        | Current   | --                         | --                       | Chair/end of semester          | --  | --  |
| Individual notes            | Individual       | Current   | --                         | --                       | Chair/end of semester          | --  | --  |
| Minutes - public - draft    | Committee        | Current   | --                         | --                       | Chair/end of semester          | --  | --  |
| Minutes - executive - draft | Committee        | Current   | --                         | --                       | Chair/end of semester          | --  | --  |
| Minutes - public – final    | Committee        | Permanent | Upon distribution          | --                       | --                             | University Archives   | Retained in Archives  |
| Minutes - executive - final | Provost's Office | 7 years   | Upon approval by committee | Faculty/Provost's Office | Provost's Office/after 7 years | --  | --  |
| Letters - drafts            | Committee        | Current   | --                         | --                       | Chair/end of semester          | --  | --  |
| Letters – final, signed (   | Provost's Office | Permanent | Upon approval by committee | Provost's Office         | --                             | Upon retirement of the faculty member, records will be transferred to the University Archives from the Provost's Office | Records will be closed for 25 years after leaving the University or 10 years after the death of the individual, whichever occurs later. |
| Faculty meeting reports     | Provost's Office | Permanent | Upon distribution          | --                       | --                             | University Archives   | Retained in Archives  |
| Making a Case slides/notes  | Provost's Office | 3 years   | --                         | --                       | --                             | --  | --  |
| Self-evaluation             | Provost's Office | Permanent | Board of Trustees vote     | Provost's Office         | --                             | Upon retirement of the faculty member, records will be transferred to the University Archives from the Provost's Office | Records will be closed for 25 years after leaving the University or 10 years after the death of the individual, whichever occurs later. |
| Supervisor's letter         | Provost's Office | Permanent | Board of Trustees vote     | Provost's Office         | --                             | Upon retirement of the faculty member, records will be transferred to the University Archives from the Provost's Office | Records will be closed for 25 years after leaving the University or 10 years after the death of the individual, whichever               |

|   |                    |           |                        |  |                                 |   |   |
|---|--------------------|-----------|------------------------|--|---------------------------------|---|---|
|   |                    |           |                        |  |                                 |   | occurs later.   |
| Letters of support  | Provost's Office   | Permanent | Board of Trustees vote | Provost's Office                           | --                              | Upon retirement of the faculty member, records will be transferred to the University Archives from the Provost's Office | Records will be closed for 25 years after leaving the University or 10 years after the death of the individual, whichever occurs later. |
| CV  | Provost's Office   | Permanent | Board of Trustees vote | Provost's Office                           | --                              | Upon retirement of the faculty member, records will be transferred to the University Archives from the Provost's Office | Records will be closed for 25 years after leaving the University or 10 years after the death of the individual, whichever occurs later. |
| Alumni evaluations  | Provost's Office   | Permanent | Board of Trustees vote | Provost's Office                           | --                              | Upon retirement of the faculty member, records will be transferred to the University Archives from the Provost's Office | Records will be closed for 25 years after leaving the University or 10 years after the death of the individual, whichever occurs later. |
| Teaching evaluations  | Provost's Office   | Current   | Case decision          | Provost's Office; return to faculty member | --                              | --  | --  |
| Supplemental documents  | Provost's Office   | Current   | Case decision          | Provost's Office; return to faculty member | --                              | --  | --  |
| Electronic copies of self-evaluation, supervisor's letter, letters of support, CV | **Provost's Office | Current   | Board of Trustees vote | --   | Provost's Office/after BOT vote | --  | --  |

## **L. Other policies**

The faculty exercises rights and responsibilities regarding selection of endowed professors; selection and evaluation of administrators; and selection of recipients of Kemp Foundation Awards for Excellence in Teaching. Please see Appendices for policies concerning these selections and evaluations.

## **IV: SEPARATION FROM THE UNIVERSITY AND SANCTIONS SHORT OF SEPARATION**

### **A. Resignation or Retirement**

To aid in program planning, faculty members should make their supervisors aware of their resignation or retirement plans. The specific conditions of retirement vary by individual needs. It is thus in the best interest of faculty members to discuss their needs and plans with the Provost well in advance of retirement. When possible, the faculty member should provide their supervisor and the Provost a written statement of their intention to retire by February of the academic year preceding the anticipated year of retirement.

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

### **B. Dismissal for Cause**

Dismissal for cause of a faculty member with continuous tenure or with a special or probationary appointment before the end of the specified term will be directly and substantially related to their professional fitness as a teacher or scholar. The Hearing Committee will review any such proposed action; the administration, Hearing Committee, and faculty members are subject to the criteria and procedures set forth in Chapter V below.

### **C. Non-Renewal [add language about grounds for non-renewal; process and notice]**

This will be a Fall 2025 CUPP recommended NEW provision to be presented to the faculty.

### **D. Termination due to Inability to Perform Essential Functions of The Position**

This will be a Fall 2025 CUPP recommended NEW provision to be presented to the faculty.

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

## 1. Introduction

Termination based on financial exigency or discontinuance of a program is governed by joint action of the faculty, administration and the Board of Trustees and shall follow the procedures outlined in the AAUP's "Recommended Institutional Regulations on Academic Freedom and Tenure," sections 4c, 4d, and 8 in the American Association of University Professors Policy Documents and Reports, ninth edition (2001), from which much of the following language is derived.

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

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

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

## 2. Financial Exigency

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

If the administration issues notice to a particular faculty member of an intention to terminate the appointment because of financial exigency, the faculty member will



have the right to a full hearing before the Hearing Committee prior to review by the Board of Trustees. The applicable procedures are set forth in Chapter V below. The hearing need not conform in all respects with a proceeding conducted pursuant to Chapter V.d (subsection “Procedures for Dismissal for Cause”), but the essentials of an on-the-record adjudicative hearing will be observed. The issues in this hearing may include:

a. The existence and extent of the condition of financial exigency. The burden will rest on the administration to prove the existence and extent of the condition. The findings of a faculty committee in a previous proceeding involving the same issue may be introduced.

b. The validity of the educational judgments and the criteria for identification for termination; but the recommendations of a faculty body on these matters will be considered presumptively valid.

c. Whether the criteria are being properly applied in the individual case.

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

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

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

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

### **3. Discontinuance of Program**

Subject to faculty approval, CUPP shall exercise primary responsibility for the decision to discontinue formally a program or department of instruction. This decision will be based essentially upon educational considerations, as determined primarily by faculty. “Educational considerations” do not include cyclical or temporary variations in enrollment. They must reflect long-range judgments that the educational mission of the University as a whole will be enhanced by the discontinuance.

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

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

In all cases of termination of appointment because of discontinuance of a program the place of the faculty member concerned will not be filled by a replacement within a period of three years, unless the released faculty member has been offered reinstatement and a reasonable time in which to accept or decline it.

#### **4. Terminal Salary or Notice**

If the appointment is terminated, the faculty member will receive salary or notice in accordance with the following schedule: at least three months, if the final decision is reached by March 1 (or three months prior to the expiration) of the first year of probationary service; at least six months, if the decision is reached by December 15 of the second year (or after nine months but prior to eighteen months) of probationary service; at least one year, if the decision is reached after eighteen months of probationary service or if the faculty member has tenure. This provision for terminal notice or salary need not apply in the event that there has been a finding that the conduct which justified dismissal involved moral turpitude. On the recommendation of the Hearing Committee or the president, the Board of Trustees, in determining what, if any, payments will be made beyond the effective date of dismissal, may take into account the length and quality of service of the faculty member.

#### **F. Review**

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

## **G. Responsibilities of Departing Faculty**

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

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

If the administration believes that the conduct of a faculty member justifies the imposition of a minor sanction, such as a reprimand, it will notify the faculty member of the basis of the proposed sanction and provide the faculty member with an opportunity to discuss the sanction. A faculty member who believes that a minor sanction has been unjustly imposed, or that a major sanction, such as a suspension, has been incorrectly imposed under this paragraph, may, pursuant to Chapter V below, file a grievance with the Hearing Committee.

# **V : HEARING COMMITTEE REVIEWS AND PROCEDURES**

## **A. Purpose**

As set forth below, the Hearing Committee is the standing committee charged with reviewing certain concerns involving faculty members brought by faculty, administrators, and students. It serves as the faculty's voice in mediating confidential matters involving faculty members, including adjunct faculty. The Hearing Committee's responsibilities include informally mediating complaints, hearing formal grievances, reviewing PAT procedures related to due process, and reviewing dismissals for cause of faculty. The purview of the Hearing Committee does not include grievances involving any issues within the responsibility of the Academic Appeals Board or the University Judicial Committee. Policies regarding the selection of the Hearing Committee are set forth in the Faculty Constitution.

## **B. Election of Officers**

The Hearing Committee shall convene for its organizational meeting within twenty-one days of its election. The Chair of the Hearing Committee from the preceding year shall preside over the election of the new Chair. This election of the new Chair shall be by secret ballot of the new members of the Hearing Committee.

## **C. Types of Cases**

There are four types of cases heard by the Hearing Committee. Procedures for each are described in detail in the following sections.

1. *Informal Confidential Mediation.* A Mediation Subcommittee of the Hearing Committee can employ a variety of techniques to informally resolve cases involving complaints by or against members of the faculty. This confidential mediation is designed to help those in dispute reach a voluntary solution that is satisfactory to all involved parties.
2. *Formal Grievance.* The Hearing Committee appoints a Hearing Panel that systematically considers the merits of a formal grievance involving members of the faculty or administration. The Hearing Panel issues findings and recommendations to the President and the parties to the grievance.
3. *Review of PAT Procedures.* At the request of a faculty member, the Hearing Committee appoints a Hearing Panel to review procedures of the Promotion and Tenure Committee. In these cases, the Hearing Committee only considers whether the Promotion and Tenure Committee followed due process and does not consider the merit of a decision by PAT.
4. *Dismissal for Cause.* The Hearing Committee reviews evidence potentially leading to the dismissal of a tenured or untenured faculty member before the end of the specified contract term. The recommendation of the Hearing Committee is submitted to the President and the faculty member.

The Hearing Committee also handles cases involving adjunct faculty members. Procedures for informal mediation, formal grievances, and dismissal for cause involving adjunct faculty are the same as for full-time faculty members. Additionally, as stated in Article III.10b of the Constitution, formal grievances will typically involve issues related to academic freedom, professional ethics, or due process. The relevant due process provisions for adjunct faculty are the following: written terms and conditions of appointments, modifications, and extensions; a written statement of reasons for involuntary termination during a period of appointment and an opportunity to be heard before a duly constituted committee prior to such a termination; and, if the faculty member makes a prima facie case of an academic freedom violation or improper discrimination, a statement of reasons for nonreappointment and a hearing before a duly constituted faculty committee.

#### D. Informal Confidential Mediation

The Hearing Committee provides a process for informally resolving complaints brought by faculty members (“Petitioner(s)”) against other faculty members or members of the administration (“Respondent(s)”).

- Use of the informal process is optional.
- The Petitioner need not have pursued all the avenues of grievance resolution stipulated for a formal grievance hearing before using the informal process.

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

## E. Formal Grievance

The policies and procedures listed here reflect the spirit of the procedures listed in the *American Association of University Professors Policy Documents and Reports*, ninth edition (2001). These procedures have been adapted to suit the needs of the Hearing

Committee in its consideration of grievances and to comply with the Constitution of the Faculty of Illinois Wesleyan University.

The role of the Committee is to hear grievances and to offer recommendations for resolutions to the participants of the grievance and University President. In all grievance matters brought before the Hearing Committee, the Hearing Panel's primary goal shall be to help resolve the grievance.

## 1. Definitions

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

## 2. Filing a Grievance

- A person(s) seeking to file a Grievance is advised to submit the Grievance in writing to their Dean, Chair, or Director and the Provost. The result of this letter should be an attempt to resolve the Grievance through discussion of the matter with the Dean, Chair, or Director (unless this person is the subject of the Grievance) and, if the matter is not resolved, with the Provost. Should the

Grievant believe their concerns directly involve the Dean, Chair, or Director or the Provost, the Grievant is encouraged to contact the Hearing Committee.

- If the Grievance is not resolved by actions of the steps outlined above, the Grievant is encouraged to meet with the Hearing Committee Chair and to submit the Grievance in writing to the Hearing Committee via the informal mediation process. The purpose of this meeting is to initiate the process of resolving the Grievance through the informal procedures of the Hearing Committee. Should the Grievant feel that the informal procedure would be inadequate to resolve the Grievance, the Grievant may file the Grievance directly for a formal hearing.
- If the Grievance remains unresolved after completion of the actions above, the Grievant may choose to file a grievance. If the Grievant chooses the formal option, she or he must submit a written Grievance Claim to the Hearing Committee Chair, who will then form a Hearing Panel according to the procedures outlined in Article III, Section 10a, Part 2 of the Faculty Constitution. The formal process begins with the receipt by the Hearing Committee Chair of the Grievance Claim requesting a formal hearing.
- The written Grievance Claim must not be accompanied by any supporting evidence at this stage in the process. Evidence may be submitted after the Hearing Panel is chosen and the Respondent has been notified (see “Preparations for the Grievance Hearing” below. Evidence will be officially accepted by the Hearing Panel at Grievance Hearing sessions. See “Procedures for Conducting a Grievance Hearing” below for a complete description of the rules of evidence.

### 3. Rights of the Participants in Arbitration of a Grievance

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

- Any person involved in the grievance process gives implied consent to abide by the policies and procedures set forth in this document. Any Grievant who does not consent to the policies and procedures set forth in this document may withdraw from the grievance process.
- The Grievant and the Respondent may exercise one preemptory challenge of a member of the Hearing Panel. If the party chooses to exercise this right, it must be done before the first Hearing Panel session.
- Participants of the Grievance Hearing, except witnesses, have access to all documents provided to the Hearing Panel including the Grievance itself, and the

right to a reasonable amount of time, to be determined by the Hearing Panel, to consider them and construct a response, if desired.

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

#### 4. Preparations for the Grievance Hearing

- The Hearing Committee Chair will convene the Hearing Panel at its first meeting and preside over the election of the Hearing Panel Chair. The election of the chair will be by secret ballot among the members of the Hearing Panel with the ballots counted and the result reported by a member of the Hearing Panel.



- The Hearing Panel will then serve notice which includes a copy of the Grievance Claim in writing to the Respondent at least twenty calendar days prior to the grievance hearing. Copies of this notice will be sent to the Provost and the President of the University. Service shall ordinarily be made by email to the parties' IWU email addresses and, where possible, by placing a sealed copy of the notice in the parties' campus mail box(es). Receipt of the Hearing Panel's notice and other communications will be presumed when service is made in this manner.
- In the notice, or in a subsequent written communication, the Hearing Panel will designate the day, time, and place of the Grievance Hearing and state whether the Grievant and Respondent will meet with the Hearing Panel separately or jointly at the Grievance Hearing, making every effort within reason to accommodate all parties involved.
- If the Hearing Panel determines that the Grievant refuses to cooperate in the scheduling of the hearing, the grievance process will be terminated. If the Respondent refuses to cooperate, the grievance process may continue.
- Between the time of the notice of the Grievance Claim and the initial Grievance Hearing, all parties may submit to the Hearing Panel proposed evidence and supporting documents. If these documents are received by the Hearing Panel at least five days prior to the Grievance Hearing, the Panel will circulate the documents to all involved via secure electronic means (e.g., Google Drive with restricted sharing). Documents will not be officially accepted into evidence until the grievance hearing. Parties to the grievance process may bring further documents or evidence to the hearing session(s), provided electronic copies are supplied to all parties.
- In addition to supporting documents and evidence, the Grievant and the Respondent may suggest questions to the Hearing Panel to be asked at the hearing session(s). The Hearing Panel reserves the right to decide whether or not to ask the questions submitted by the participants of the grievance process. The Hearing Panel will not be limited by the questions submitted to it and will be free to ask whatever questions it deems appropriate and necessary for clarification and/or resolution of the issues involved.

## 5. Procedures for Conducting a Grievance Hearing

### a) Records and Confidentiality

- The Grievance Hearing will be audio recorded. A transcript of the Grievance Hearing will be available to the Grievant and the Respondent if they submit a request in writing to the Hearing Committee for a copy after the completion of the grievance process. The exception to this will be any evidence provided by student witnesses. Their evidence will not be available to any third parties, nor will their

identities be revealed in the transcripts. The transcript need not be prepared by a court reporter.

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

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

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

- If after hearing the case of the Grievant, the Hearing Panel unanimously agrees that the Grievance is without merit or not within the responsibilities of the Hearing Committee, the Hearing Panel may terminate the proceedings and notify all parties, with rationale as deemed necessary by the Hearing Panel.
  - After presentation of the Grievance Claim, the Respondent will present their case. The Hearing Panel may direct questions to the Respondent and hear and question witnesses present on behalf of that person.
  - In the event that a Grievance is brought against several Respondents, each Respondent shall present their case individually, be questioned, and bring witnesses according to the process detailed above.
  - After all evidence has been presented, the Grievant and Respondent will have the opportunity to submit a written summary statement to the Hearing Panel within five working days of the completion of the grievance hearing. This statement should incorporate existing evidence only and may not present new evidence. Any party may waive the right to a written summary statement. No additional communication will be received into the record after the written summary statement.
  - After the Hearing Panel Chair has convened the Grievance Hearing and until such time as the conclusion of deliberations, to amend these rules will require a majority vote of the Hearing Panel and the agreement of the Grievant and Respondent.
- c) Witnesses
- The Hearing Panel may receive evidence from and question witnesses. Any witnesses who are unable or unwilling to attend may be interviewed in a video meeting or may be invited to submit a written statement to the Hearing Panel. These witnesses may also be asked to provide a written response to questions posed by the Hearing Panel or may be asked to attend a future session(s). Any questioning of witnesses, in whatever form, becomes part of the official record.
  - The Hearing Panel may dismiss the Grievant, the Respondent, and their advisers from the hearing room during statements and questioning of witnesses.
  - The Hearing Panel may call and hear additional witnesses as it deems advisable.
- d) Evidence Presented at a Grievance Hearing
- The Hearing Panel will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved.
  - Every possible effort will be made to obtain the most reliable evidence available.
  - Evidence should be submitted in electronic form and made available to each member of the Hearing Panel and all parties involved in the grievance process. The Hearing Panel may require original evidence to be provided to the Panel for purposes of authentication.

- 4315 ● Evidence may be offered to the Hearing Panel before or during the Hearing  
4316 session. This evidence will be officially accepted into the record only during  
4317 sessions of the Grievance Hearing.
- 4318 ● The Panel will grant adjournments to enable either party to investigate evidence  
4319 as to which a valid claim of surprise, as determined by the Panel, is made.
- 4320 ● The reading of a list of documents previously received by the Hearing Panel is  
4321 sufficient to make all material contained in those documents part of the official  
4322 record. Only evidence in the official record is to be considered in the deliberations  
4323 of the Hearing Panel.
- 4324 ● The Hearing Panel reserves the right to limit the presentation of evidence deemed  
4325 redundant, irrelevant, or dilatory.

## 4326 6. Procedures for Issuing Findings and Recommendations Following a 4327 Grievance Hearing

- 4328 ● After deliberation of the issues presented at the Grievance Hearing, the Hearing  
4329 Panel will present findings and recommendations for resolving the matter to the  
4330 parties of the Grievance and to the University President. This document should  
4331 indicate points of consensus and lack of consensus among the Panel with respect  
4332 to issues of the Grievance. The Grievant and Respondent will be provided a copy  
4333 of the findings and recommendations of the Hearing Panel within twenty-one  
4334 days of the final adjournment of the Grievance Hearing.
- 4335 ● A written report of the deliberations of the Hearing Panel, copies of all evidence  
4336 accepted into the record, and a copy of the Hearing Panel's findings and  
4337 recommendations will be stored in sealed envelopes marked "confidential," and  
4338 filed with the office of the President.

## 4339 7. Date of approval

4340 These procedures were established by the Hearing Committee on March 30, 2006,  
4341 approved by the general faculty on April 17, 2006, and modified with approval of the  
4342 general faculty on April 9, 2025.

## 4343 F. Review of Promotion and Tenure Committee Due Process

### 4344 1. Introduction

4345 The Hearing Committee provides a formal process for hearing Petitions from faculty  
4346 members that claim that a due process violation has been made by the Promotion and  
4347 Tenure (PAT) Committee. Hearing panels organized for this purpose may hear  
4348 Petitions concerning potential violations during any PAT review (including pre-  
4349 tenure reviews, application for tenure, and application for promotion). The Hearing  
4350 Committee will not consider nor seek information concerning the merits of a case

made to the PAT Committee. The merits of a case include those items on which the PAT Committee based its recommendation, such as achievements in teaching, scholarship, or service and letters of reference. If the Hearing Panel determines that one or more due process violation(s) have occurred, it will notify the PAT Committee, the Petitioner, the Provost, and the President of the University of the violation(s) and will recommend that the PAT Committee correct the procedural error and reconsider the case. A faculty member who submits a Petition to the Hearing Committee should carefully review all pertinent sections of the Faculty Handbook and Constitution, including Chapter III. B–Section 2 of the Faculty Handbook.

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

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

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

## 3. Definitions

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

Petitioner, the Chair of the PAT Committee, the Provost, and the President of the University.

- *Due process violations* occur when the PAT Committee deviates from its procedures as defined in the Faculty Constitution, the Faculty Handbook, and official correspondence from the Committee. Petitioners are encouraged to review these documents carefully and identify specific due process violations in the Petition.
- *Special cases of due process violation* are academic freedom violations and discrimination.
- *Academic Freedom violations* occur when the PAT Committee bases its recommendations significantly on considerations that violate academic freedom as defined in Article II of the Constitution.
- *Discrimination* occurs when the PAT Committee bases its recommendations significantly on considerations that are prejudicial with respect to race, ethnicity, sex, religion, national origin, age, disability, marital status, or sexual orientation.

#### 4. Filing a Petition contending PAT due process violations

- Any person or persons involved in a review of a Petition gives implied consent to abide by the policies and procedures set forth in this document. The Petitioner can withdraw the Petition at any time during the process, which would end action by the Hearing Committee without submission of a formal report. The Hearing Panel can suspend the review process if it judges that the Petitioner is not complying with the policies set forth in this document.
- The Petitioner is encouraged to consult with relevant parties in preparing a written Petition. The Petition should provide a point-by-point account of perceived due process violations that occurred during review of the Petitioner's application for review, tenure, or promotion by the PAT Committee. The burden of proof will rest upon the Petitioner. Any discussion of achievement or merit must be omitted from the Petition.
- Communication with the Chair of the Hearing Committee prior to submission of a Petition must be limited to discussion of Hearing Committee review procedures.
- Upon receipt of a Petition, the Chair of the Hearing Committee will meet with the full committee to form a five-member Hearing Panel, according to the procedures outlined in Article III, Section 10, Part a.2 of the Faculty Constitution. For the purposes of this case, the "Respondent" mentioned in the Constitution will be the Chair of PAT.
- The Hearing Panel may seek University or independent legal counsel as it deems necessary.
- All Hearing Panel expenses directly related to the review process will be met by the University.

## 5. Procedures of the Hearing Panel in a review of a Petition

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

## 6. Procedures for issuing recommendations

- Within ten days of completion of the review process, the Hearing Panel will present a written recommendation to the Petitioner, the Chair of the PAT Committee, the Provost of Faculty, and the President of the University. The subject of the recommendation will be restricted to the procedural and due process issues that were detailed in the Petition submitted to the Hearing Committee. If

the Hearing Panel determines through a majority vote that the PAT Committee made a due process violation, it will instruct that the PAT Committee correct the violation(s) and recommend that the Committee reconsider the Petitioner's case.

- If necessary, all efforts will be made to have the PAT Committee that reviewed the Petitioner's original application reconsider the case.
- The Chair of the PAT Committee will report the following, in writing, to the Chair of the Hearing Committee: (1) receipt of the Hearing Panel recommendations; (2) any action taken by the PAT Committee to correct the procedural violations; and (3) if the Petitioner's case was reheard.
- All written documents and records of deliberations and interviews will be stored in sealed envelopes marked "confidential," and filed in the Office of the Provost of Faculty.

## 7. Date of Approval

These procedures were established by the Hearing Committee on March 30, 2006, approved by the general faculty on April 17, 2006, and modified with approval of the general faculty on April 9, 2025.

## G. Dismissal for Cause

### 1. Introduction

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

Termination of an appointment with continuous tenure, or of a special or probationary appointment before the end of the specified term, may be effected by the University President only for adequate cause. Adequate cause for dismissal will include action directly and substantially related to the professional competence of the faculty member as teacher or researcher, moral turpitude (as defined by the AAUP), or violation of professional ethics, as set forth in the AAUP 1940 Statement on Principles of Academic Freedom and Tenure and the AAUP Statement on Professional Ethics (1987, Chapter VI, section A of the Faculty Handbook). Dismissal will not be used to restrain a faculty member's academic freedom or legal rights. Suspension of a faculty member during dismissal proceedings is justified only if immediate harm to the faculty member or others is threatened by the faculty



member's continuance. Unless legal considerations forbid, any such suspension should be with pay.

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

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

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

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

- At the request of either party or the panel, a representative of a responsible higher educational association will be permitted to attend the proceedings as an observer.

### 3. Preparations for a Formal Dismissal for Cause Hearing

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

### 4. Conducting a Formal Dismissal for Cause Hearing

- The Hearing Panel will determine the order of events in the hearing session(s), will normally conduct the questioning of witnesses, and, if necessary, will secure the presentation of evidence important to the proceeding. The Hearing Panel will make special effort to obtain additional testimony or evidence in cases where factual matters are in dispute between the statement of charges and the faculty member's rebuttal.

- The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence relating to the statement of charges. The administration will cooperate with the Hearing Panel in securing witnesses and making available documentary and other evidence.
- The burden of proof that adequate cause exists rests with the institution and will be satisfied only by clear and convincing evidence in the record considered in its entirety.
- All policies in Section E.5.d “Procedures for Conducting a Grievance Hearing: Evidence Presented at a Grievance Hearing” will apply.
- The faculty member and their counsel, and the President of the University or President’s designee will have the right to be present during testimony of all witnesses. The parties further have the right to question all witnesses; however, the Hearing Panel may place reasonable limits on the scope and duration of such questioning in the interests of reaching a fair and just result. If witnesses are unable to appear, their written or recorded statements may be received and entered into the record. In such cases the Hearing Panel will identify the witnesses, disclose their statements to all parties, and if possible, provide for interrogatories.
- Hearings involving charges of incompetence may include testimony of qualified faculty members from this or other institutions of higher education.
- The Hearing Panel may seek University or independent legal counsel as it deems necessary.
- All costs involving reasonable support for the Committee’s expenses directly related to the dismissal for cause procedure will be met by the University.
- The Hearing Panel in its sole judgment reserves the right to dismiss any person(s) deemed disruptive to the proceedings.
- An audio recording of the hearing session(s) will be kept. Should a written transcript become necessary, it need not be generated by a court reporter.
- After all presentation of evidence and testimony, the Hearing Panel will give opportunity to the faculty member or the faculty member’s counsel and the President of the University or President’s designee to present a verbal statement before the Panel. If written briefs would be helpful in the Panel’s deliberations, the Hearing Panel may request them or the Hearing Panel may in its discretion grant any party’s request to submit a written brief.

## 5. Procedures Following a Formal Dismissal for Cause Hearing

- The Hearing Panel will reach its decision in conference, on the basis of the hearing testimony and evidence alone. The Panel should make explicit findings with respect to each of the charges presented by the President, with specific and reasoned opinions. If the Hearing Panel concludes that adequate cause for

dismissal has been established, the Panel will recommend dismissal of the faculty member. If the Hearing Panel concludes that the charges are substantiated, but that an academic penalty less than dismissal would be more appropriate, it will so recommend, with supporting reasons. If the Panel determines that the charges have no merit, it will so report, with supporting reasons.

- The final report and recommendation of the Hearing Panel will be delivered to the President of the University and the faculty member involved. All materials and records related to the hearing will be stored in sealed envelopes marked “confidential,” and filed in the Office of the President.
- Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration by the Board of Trustees.
- The President should transmit to the Board of Trustees the full report of the Hearing Panel, stating its action. Acceptance of the Hearing Panel’s recommendation would normally be expected. If the Board chooses to review the case, its review should normally be based on the record made before the Hearing Panel, accompanied by opportunity for argument, oral or written or both, by the principals at the hearing or their representatives. Except in unusual circumstances no argument should be presented to the Board that has not been presented to the Hearing Panel. The decision of the Hearing Panel should either be sustained or the proceeding be returned to the Hearing Panel with objections specified. In such a case the Hearing Panel will reconsider, taking account of the stated objections and receiving new evidence if necessary. It will frame its decision and communicate it in the same manner as before. Only after a study of the Hearing Panel’s reconsideration should the Board of Trustees make a final decision overruling the Hearing Panel.

## **6. Date of Approval**

These procedures were established by the Hearing Committee on March 30, 2006, approved by the general faculty on April 17, 2006, and modified with approval of the general faculty on April 9, 2025

# **VI: AMENDMENT OF THE HANDBOOK; MODIFICATION OF TIMELINES OR PROCEDURES**

## **A. Amendment Process.**

There shall be prepared and maintained a *Faculty Handbook* for publication of

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

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

| Changes to:                | Approval Process:   |
|----------------------------|---|
| Chapter I                  | the approval of the Provost and the President.              |
| Chapter II.A, II.B 1, 3-5: | the approval of the Provost and the President.              |
| Chapter II.B.2:            | the approval of the faculty, the Provost and the President. |
| Chapter III.A-C:           | the approval of the faculty, the Provost and the President. |
| Chapter III.D:             | the approval of PAT.  |
| Chapter IV:                | the approval of the faculty, the Provost and the President. |
| Chapter V:                 | the approval of the Hearing Committee and the faculty.      |
| Chapter VI:                | the approval of the faculty, the Provost and the President. |

|                       |   |
|-----------------------|---|
| Faculty constitution: | a constitutional amendment (see Article V, Section 2) (30 day notice required). |
| Appendix B.A:         | the approval of the faculty.  |
| Appendix B.B:         | the approval of the respective committees.                                      |
| Appendices F and H    | the approval of the faculty, the Provost, and the President                     |
| All other appendices  | the approval of the Provost and the President.                                  |

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

The Provost has the responsibility for the timely editing and publishing of the Faculty Handbook. If and when changes to the handbook are made throughout the year, the Vice Chair of CUPP and the Office of the Provost will edit the working copy of the handbook, keeping track of changes. Faculty will have view-only access to the working copy. The Office of the Provost will publish a static Faculty Handbook by August 15th of each academic year with a summary of changes adopted during the preceding academic year.

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4689 **Foundational Document: THE FACULTY CONSTITUTION**

- 4690 A. Preamble
- 4691 B. ARTICLE I. Responsibility of the Faculty
- 4692 C. ARTICLE II. Academic Freedom and Due Process
- 4693 D. ARTICLE III. Faculty Organization
- 4694     Section 1. General Faculty Meeting
- 4695     Section 2. Membership in the Faculty
- 4696     Section 3. Council on University Programs and Policy
- 4697     Section 4. Faculty Representatives to the Board of Trustees
- 4698     Section 5. Promotion and Tenure Committee
- 4699     Section 6. Faculty Development Committee
- 4700     Section 7. The Curriculum Council
- 4701     Section 8. The Assessment Committee
- 4702     Section 9. Participation by Persons Not Members of the Curriculum Council,
- 4703     Promotion and Tenure Committee, Council on University Programs and Policy,
- 4704     Faculty Development Committee, or Assessment Committee
- 4705     Section 10. The Hearing Committee
- 4706     Section 11. Academic Appeals Board
- 4707     Section 12. Faculty Representatives to the All University Judicial Committee and
- 4708     Academic Appeals Board
- 4709     Section 13. Undergraduate Research Advisory Committee
- 4710     Section 14. Council for Excellence in Teaching and Learning (CETAL)
- 4711     Section 15. Faculty Secretary
- 4712     Section 16. Authority of Schools and Departments
- 4713 E. ARTICLE IV. Nominations and Elections
- 4714     Section 1. Nominating Committee
- 4715 F. ARTICLE V. Adoption of Constitution and Amendments
- 4716     Section 1. Adoption and Effective Date.
- 4717     Section 2. Amendments and Effective Date.
- 4718 G. ARTICLE VI. Parliamentary Authority
- 4719 H. ANNEX I. 1940 Statement of Principles on Academic Freedom and Tenure
- 4720 I. ANNEX II. Excerpts from the Amended Bylaws of the Board of Trustees
- 4721

4722        **A. Preamble**

4723        The Constitution of the Faculty of Illinois Wesleyan University outlines the  
4724        responsibilities and role of the faculty within the University community. It  
4725        recognizes the ultimate responsibility of the Board of Trustees under the University's  
4726        charter, of the President as the primary agent of the Board, and the responsibilities of  
4727        other components of the University in a community which includes the Trustees, the  
4728        President and other officers of administration, the faculty and the students.

4729        The Constitution reflects the special and traditional responsibility of a University  
4730        faculty for the academic affairs of the University. It is not a document standing  
4731        alone, but one to be interpreted in line with the University charter and the Bylaws of  
4732        the Board of Trustees, with the necessary administrative rules approved by the  
4733        President, and the basic documents relating to student government.

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4735        (Adopted by the Faculty December 3, 1984. Approved by the President January 7,  
4736        1985.)

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4738        **B. ARTICLE I. Responsibility of the Faculty**

4739        The level of academic excellence which characterizes an institution of higher  
4740        education is directly related to the quality of its faculty and the degree to which the  
4741        faculty takes seriously its role in maintaining the high quality of education in the  
4742        University. The faculty's major obligation is to establish and maintain an  
4743        institutional environment where excellence in instruction and learning is possible. In  
4744        order to fulfill this function, there are certain areas where the concern and  
4745        participation of the faculty is vitally important.

- 4746         
4747        1. The selection, retention, promotion, and economic status of faculty.  
4748        2. The academic freedom of individual faculty members to determine and pursue  
4749        their own teaching and research, and their unencumbered participation in the  
4750        political and social life of the wider community.  
4751        3. The review and maintenance of a curriculum.  
4752        4. The establishment of the standards of admission, separation, achievement, and  
4753        graduation of students.  
4754        5. Personal contact with and counsel to students.  
4755        6. Planning for the academic and fiscal future of the University.  
4756        7. Assistance in the selection of the President of the University and others  
4757        concerned with academic affairs.  
4758        8. Encouragement of responsible student participation in the University community.

4759        **C. ARTICLE II. Academic Freedom and Due Process**

4760        The faculty of Illinois Wesleyan University shall be afforded academic freedom and



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

#### D. ARTICLE III. Faculty Organization

##### Section 1. General Faculty Meeting

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

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

Faculty as used in this Constitution shall include all members of the Academic Affairs staff of Illinois Wesleyan University having full-time appointments of academic rank.

For the purposes of elections, faculty with the ranks of Assistant Professor with tenure, Associate Professor, Professor, and Senior Instructor will be noted as Senior Faculty on ballots. In cases where a faculty's role is unclear, it is up to the discretion of the Provost to set the precedent.

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

- a. *Organization.* One representative elected by each educational unit and the President of the Student Senate or the president's designee *ex officio* with vote

shall constitute the Council on University Programs and Policy. When the President or Provost shall determine that matters before the Council are of sufficiently sensitive nature, the President and Provost may meet with the faculty members alone as a subcommittee.

Full-time faculty will be eligible to serve as representatives of educational units. Representatives of educational units shall be elected for two-year terms. Membership on the Curriculum Council, Promotion and Tenure Committee, Faculty Development Committee, Hearing Committee, CETAL, or Assessment Committee precludes membership on the Council on University Programs and Policy except in the case of *ex officio* members. For the purpose of electing representatives to the Council on University Programs and Policy educational units shall be constituted as follows:

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

Interdisciplinary faculty who choose to vote for an Interdisciplinary representative on CUPP may not vote in any other educational unit election for a CUPP representative. The Council shall determine its own rules of procedure, which shall be published in Appendix B (which outlines committee procedures). A majority of the faculty membership shall constitute a quorum for the conduct of business.

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

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

| Record<br>s group | Officia<br>l copy<br>holder | Retentio<br>n Period | Retentio<br>n event | Retentio<br>n Authorit<br>y | Delete<br>electronic        | Permanen-t<br>ly retained | Archives<br>/ Access |
|-------------------|-----------------------------|----------------------|---------------------|-----------------------------|-----------------------------|---------------------------|----------------------|
| Agenda            | Committee                   | Current              | N/A                 | N/A                         | Chair/end<br>of<br>semester | N/A                       | N/A                  |

|                                 |                        |           |                   |     |     |                     |                             |
|---------------------------------|------------------------|-----------|-------------------|-----|-----|---------------------|-----------------------------|
| Public minutes                  | Committee              | Permanent | Upon distribution | N/A | N/A | University archives | Retained in open collection |
| Board of Trustees faculty notes | Faculty rep to the BoT | Permanent | Upon distribution | N/A | N/A | University archives | Retained in open collection |
| Faculty meeting reports         | Provost's office       | Permanent | Upon distribution | N/A | N/A | University archives | Retained in open collection |
| Task Force Reports              | Committee              | Permanent | Upon distribution | N/A | N/A | University archives | Retained in open collection |

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

CUPP will serve as the advisory screening committee for the Academic Affairs Dean position. CUPP will confirm that all nominees are willing to serve in these positions; in all other respects, nominations will be kept confidential.

After assessing the qualifications, strengths, and weaknesses of each candidate, CUPP may elect to interview finalists for the position in question. Nominees will then be ranked. CUPP's recommendations and the rationales for them will then be forwarded to the Provost.

- c. *Reports and Records.* All actions taken by the Council, and its sub-committees/task forces, will be recorded in the minutes and distributed to the faculty. Minutes of CUPP meetings will be distributed to the faculty via email in a timely manner. Task Force Reports will be appended to the relevant CUPP

meeting minutes for distribution to the faculty. The Council shall make a report to the General Faculty Meeting of its proceedings. Recommendations requiring faculty action shall be made at a General Faculty Meeting. Some information discussed during CUPP meetings will be kept appropriately confidential and those discussions will take place in executive session.

- d. Procedures for Conducting Elections.* Representatives to the Council on University Programs and Policy shall be elected according to consistent procedures approved by a vote of the general faculty. Such procedures shall assure that no faculty member of the educational unit will be deprived of the opportunity to be elected. Election of representatives shall take place prior to the faculty election provided for in Article IV. Vacancies shall be filled by the same procedures used for the election of a representative. Representatives elected to fill a vacancy shall serve until the end of the regular term of the representative they are replacing.

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

- a.* In addition to the chair and vice chair, two CUPP members will serve as Faculty Representatives to the Board of Trustees to serve two-year terms. It is recommended that the Representatives have several years of experience as members of the University faculty.
- b.* The Faculty Representatives to the Board of Trustees and the Chair and Vice Chair of CUPP shall attend and observe regular meetings. Two of the Faculty Representatives to the Board of Trustees shall serve on the Board of Trustees Honorary Degree Committee.
- c.* The CUPP Chair or designee will collate a comprehensive report that includes information from the Academic Affairs, Business, Advancement, and Campus Life Subcommittees and the General Business meeting of the Board of Trustees. This written report will be submitted to the faculty within a month's time of the BOT meeting. For archival purposes, the written report will also be included as part of the CUPP report.

#### Section 5. Promotion and Tenure Committee

- a. Organization.* The Promotion and Tenure Committee (PAT) shall consist of five members of the faculty elected according to the procedures prescribed in Article IV. The members shall serve two-year terms. Four of the five members shall be senior faculty with terminal degrees, three of whom must be tenured. The fifth member may be tenured, on the tenure track but untenured, or on the teaching track. Faculty who apply for tenure or promotion in rank shall not serve on the committee during the academic year in which their case is under consideration. Membership on the Promotion and Tenure Committee precludes membership on the Curriculum Council, the Council on University Programs and Policies, the Faculty Development Committee, the Hearing Committee, CETAL, and the Assessment Committee. The Committee shall elect a Chairperson and a Vice

Chairperson who shall constitute the Executive Committee. A majority of the elected membership shall constitute a quorum for the conduct of business. The Promotion and Tenure Committee may meet jointly with the Faculty Development Committee at the request of either committee or the Provost. The Committee shall determine its own rules of procedure, which shall be published in Appendix B (which outlines committee procedures). The purpose of these procedures is to assure that the recommendations of the committee are a bona fide exercise of professional academic judgment and are not based on discrimination and violations of academic freedom.

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

*b. Functions.*

1) The Promotion and Tenure Committee shall advise the President concerning personnel matters as to the awarding of tenure, the reappointment of probationary faculty, and the awarding of promotions in rank. Other matters may be reviewed at the request of the President. The President does not attend Promotion and Tenure Committee meetings except under special circumstances such as when he or she may need to poll the members of the committee regarding any of their decisions. Faculty members may initiate the process for consideration for promotion in rank on their own behalf. This intent must be conveyed to the Provost and Chairperson of PAT.

2) The Promotion and Tenure Committee may also study policies and practices in faculty personnel matters including standards of recruitment, promotion, tenure, separation, working conditions, and compensation.

*c. Reports and Records.* The Committee shall formulate and submit recommendations to the President through the Provost. The Committee shall report to the General Faculty Meeting. Where appropriate, however, it shall report only in a general way sufficient to keep the faculty informed of its work without violating confidentiality. Recommendations and reports concerning overall policy shall be presented to the General Faculty Meeting for consideration before transmitting them to the President for action. The

Committee shall maintain a full record of all actions taken, and minutes shall be kept of all discussions. The Committee may control access to information on grounds of administrative or individual privacy. The full Records Management Policy for PAT is found in Appendix B.

#### Section 6. Faculty Development Committee

- a. *Organization.* The Faculty Development Committee shall consist of five members of the faculty elected according to the procedures prescribed in Article IV. The members shall serve two-year terms, and at least three of the five members shall be tenured. The Dean of Curricular and Faculty Development shall also be a non-voting, *ex officio* member. Membership on the Faculty Development Committee precludes membership on the Council on University Programs and Policies, Promotion and Tenure Committee, the Curriculum Council, the Hearing Committee, CETAL, and the Assessment Committee. The Committee shall elect a Chair and a Vice Chair. The position of secretary rotates among the elected members of the faculty (excluding the Chair). A majority of the elected membership shall constitute a quorum for the conduct of business. The Faculty Development Committee may meet jointly with the Promotion and Tenure Committee at the request of either committee or the Provost. The Committee shall determine its own rules of procedure, which shall be published in Appendix B (which outlines committee procedures).
- b. *Functions.* The Faculty Development Committee shall be responsible for matters concerning faculty development and professional growth of faculty. It shall advise and make recommendations to the Provost concerning faculty leaves, University grants, and support for faculty research and other professional activities.
- c. *Reports and Records.* The Faculty Development Committee shall formulate and submit recommendations for sabbaticals, grants and distribution of faculty development funds to the Provost. Recommendations and reports concerning overall policy shall be presented to the General Faculty Meeting for consideration before transmitting them to the President for action. All decisions or recommendations not requiring faculty action shall be reported to the faculty. The Committee shall maintain a full record of all actions taken, and minutes, which shall be distributed to the faculty, shall be kept of all discussions. The Committee may control access to information on grounds of administrative or individual privacy.

#### Section 7. The Curriculum Council

- a. *Organization.* The Curriculum Council shall consist of one representative elected by each educational unit, the Dean of Curricular and Faculty Development (or a designee) *ex officio* without voting privileges, the Registrar *ex officio* without voting privileges, and two student members chosen by the Student Senate. Student members may be named to committees of the Curriculum Council but shall not be designated

as *ex officio* members of any committee established to deal with personnel matters. Representatives of education units shall be elected for two-year terms. Membership on the Curriculum Council precludes membership on CUPP, the Promotion and Tenure Committee, Faculty Development Committee, the Hearing Committee, CETAL, and the Assessment Committee. For the purpose of electing representatives to the Curriculum Council educational units shall be constituted as follows: The School of Art, Theater Arts, and Music; The School of Nursing and Health Sciences and the Physical Education Department; the School of Business and Economics; the Division of Humanities; the Division of Natural Sciences; the Division of Social Sciences and School of Education; and the Library faculty. The Council shall elect a Chairperson and Vice Chairperson. The position of secretary rotates among the Committee members excluding the Chair. The Council shall determine its own rules of procedure, which shall be published in Appendix B (which outlines committee procedures). A majority of the voting faculty membership shall constitute a quorum for the conduct of business.

- b. *Functions.* The Curriculum Council shall advise and make recommendations to the faculty or to the President on all matters concerning the curriculum (including The Shared Curriculum Program and The Gateway Colloquia), calendar, credit, individual courses, and other matters relating to academic affairs. It may call attention to budget needs to the extent to which they affect academic affairs. It may appoint panels from its membership or recommend to the President appointment of committees consisting of members of the Council, the general faculty, the administration, the student body, or any combination thereof, to perform special tasks or projects. Recommendations concerning subjects within the Council's jurisdiction may be made by any member of the faculty, student body, by departments or schools, or by the President or Provost. The Council shall consider such recommendations and make a final report or recommendation to the faculty.
- c. *Reports and Records.* The Curriculum Council shall submit its recommendations to the General Faculty Meeting for approval, except as it may provide for final action by the Council on matters of minor or routine nature. All actions taken by the Council shall be recorded in minutes of its proceedings and distributed to the faculty.
- d. *Procedures for Conducting Elections.* Representatives to the Curriculum Council on University shall be elected according to consistent procedures approved by a vote of the general faculty. Such procedures shall assure that no faculty member of the educational unit will be deprived of the opportunity to be elected. Election of representatives shall take place prior to the faculty election provided for in Article IV. At-large representatives shall be elected during general faculty elections. Vacancies shall be filled by the same procedures used for the election of a representative. Representatives elected to fill a vacancy shall serve until the end of the regular term of the representative they are replacing.

## Section 8. The Assessment Committee

- a. *Organization.* The Assessment Committee shall consist of three members of the



5061 faculty, elected according to the procedures prescribed in Article IV. These three  
5062 faculty members shall serve two-year staggered terms, and one of the members shall  
5063 be senior faculty. The Associate Vice-President for Institutional Effectiveness shall  
5064 be a non-voting, *ex officio* member. One student without voting rights will be  
5065 appointed by the Student Senate. Membership on the Assessment Committee  
5066 precludes membership on the Council on University Programs and Policy, Faculty  
5067 Development Committee, Promotion and Tenure Committee, the Hearing  
5068 Committee, CETAL, and Curriculum Council. The Committee shall elect a  
5069 Chairperson and a Vice Chairperson from among the voting membership. The  
5070 position of Secretary shall rotate among the members of the Committee, excluding  
5071 the Chair. A majority of the voting membership shall constitute a quorum for the  
5072 conduct of business. The Committee shall determine its own rules of  
5073 procedure, which shall be published in Appendix B (which outlines committee  
5074 procedures). The functions and purview of the Committee are subject to Article III,  
5075 Section 1 of the Constitution.

5076  
5077 *b. Functions.* The Assessment Committee shall:

- 5078 1. Establish effective policies and practices for assessment of student learning by all  
5079 departments, schools, interdisciplinary programs, and university-wide programs  
5080 (including Summer term, study abroad, the Shared Curriculum, and internship).  
5081 All policy recommendations from the Assessment Committee shall be submitted  
5082 to the Faculty for approval.
- 5083 2. Receive and review assessment reports, strategic assessment plans, and other  
5084 updates from all departments, schools, and programs;
- 5085 3. Collect, maintain, and make available to appropriate constituencies a repository of  
5086 assessment reports from all departments, schools, and programs;
- 5087 4. Provide feedback to each department, school, and program about the effectiveness  
5088 of its assessment process;
- 5089 5. Evaluate the extent to which each department, school, and program has  
5090 performed assessment consistent with effective policies and practices, and share  
5091 this evaluation with the university community; and
- 5092 6. Report to CUPP, FDC, CC and the Provost the feedback given to departments,  
5093 schools, and programs on their assessment practices and student learning  
5094 outcomes to facilitate strategic use of assessment for planning.

5095  
5096 *c. Reports and Records.* The Committee shall report to the General Faculty Meeting.  
5097 The Committee shall maintain and archive a full record of all minutes and actions  
5098 taken.  
5099

5100 *Section 9. Participation by Persons Not Members of the Curriculum Council,*  
5101 *Promotion and Tenure Committee, Council on University Programs and Policy, Faculty*  
5102 *Development Committee, or Assessment Committee*

- 5103  
5104 *a.* The Curriculum Council, Promotion and Tenure Committee, Faculty Development  
5105 Committee, Assessment Committee, and Council on University Programs and Policy



may invite members of the faculty or administration not members of the Council or Committee, the student body, or other persons concerned to attend and participate in meetings of their respective bodies. The chairperson of the group in each case may exercise this authority except in cases where a matter merits discussion with the group concerned. Faculty may observe meetings when the business at hand is not confidential.

- b. It shall be the policy of the faculty and its councils to include representatives of the student body in all committees when appropriate.

#### Section 10. The Hearing Committee

- a. *Organization.* The Hearing Committee shall consist of eight members elected from the faculty according to the procedure prescribed in Article IV. The members shall serve two-year staggered terms and at least six of the eight members shall be tenured. Members of the Council on University Programs and Policy, the Faculty Development Committee, the Promotion and Tenure Committee, the Assessment Committee, CETAL, and Curriculum Council, as well as administrators above the level of Dean, Chair or Director, are not eligible to serve on the Hearing Committee. At its first meeting, the Committee shall elect a Chairperson.

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

- 1) For an informal proceeding, a three-person Mediation Subcommittee will be appointed by the Chairperson of the Hearing Committee.
- 2) For a formal hearing, a five-person Hearing Panel will be selected according to the following process.
  - a) The Hearing Panel shall initially be chosen by lot from the full committee membership. Hearing Committee members who have previously served on a Mediation Subcommittee considering the same matter shall be excluded, and the remaining five members will constitute the Hearing Panel.
  - b) Members may recuse themselves for bias or interest of their own initiative.
  - c) After a panel of five has been constituted, the grievant and respondent will each have the right to one peremptory challenge. In the event that there are multiple grievants or respondents, each side will have the right to only one peremptory challenge. The grievant and respondent will simultaneously submit in writing to the Hearing Panel the name of the panelist challenged, if any. If neither party challenges, the Hearing Panel will proceed as constituted. If both parties challenge, replacement members or substitute panelists will be selected as prescribed above, and the Hearing Panel will proceed as constituted. Finally, if only one party exercises a challenge, the other party retains the peremptory challenge until another panel of five has

- 5149                   been constituted.
- 5150                   d) If one or more members are excused from the Hearing Panel, replacement  
5151                   members shall be selected by lot until five panelists have again been seated.  
5152                   In the event a five-member panel cannot be constituted from members of the  
5153                   Hearing Committee, seated panelists shall choose substitute panelists by lot  
5154                   from the tenured faculty members of the Curriculum Council. If a panel still  
5155                   cannot be fully constituted, substitute panelists shall be specially elected by  
5156                   the faculty. The Nominating Committee shall conduct the election either at  
5157                   the next meeting of the General Faculty or, if necessary, by electronic mail.
- 5158                   e) Replacement members and substitute panelists may be recused on the same  
5159                   basis as the initial members.
- 5160                   f) Substitute panelists, not members of the Hearing Committee, shall serve only  
5161                   until the conclusion of the hearing on the matter for which they were  
5162                   selected.
- 5163                   b. *Functions.* When performing the following four functions, procedures of the Hearing  
5164                   Committee shall afford due process for the parties to the hearing and prompt  
5165                   resolution of the matter(s). Hearing Committee procedures are published in Chapter  
5166                   V of the *Faculty Handbook*.
- 5167                   1) A Mediation Subcommittee may attempt informally to resolve complaints  
5168                   brought by faculty against other faculty or against members of the  
5169                   administration. The procedure may not be used by administrators above the level  
5170                   of Dean, Chair or Director.
- 5171                   2) A Hearing Panel may investigate grievances for the purpose of making a  
5172                   recommendation for resolution. Grievances may be brought to the Hearing  
5173                   Committee by an individual faculty member, a group of faculty, the academic  
5174                   administration, an individual student, or a group of students. Such grievances  
5175                   will typically involve issues related to academic freedom, professional ethics, or  
5176                   due process. A Hearing Panel will investigate grievances only when all other  
5177                   efforts at resolution as required by the *Faculty Handbook* and *Student Handbook*  
5178                   have been exhausted, including consultation through the normal channels with  
5179                   the relevant faculty members and Provost. It is not necessary to employ an  
5180                   informal proceeding in advance. A Hearing Panel will not hear grievances that  
5181                   are in conflict with the Hearing Committee's purview as described in the *Faculty*  
5182                   *Handbook*.
- 5183                   3) A Hearing Panel may also review the proceedings of the Promotion and Tenure  
5184                   Committee, to ensure due process. In no case shall the Hearing Panel substitute  
5185                   its judgment of the merits of a case for that of the Promotion and Tenure  
5186                   Committee. The Hearing Committee review will be limited solely to claims of a  
5187                   lack of due process.
- 5188                   4) A Hearing Panel shall investigate and make recommendations to the President in  
5189                   cases of dismissal for cause of a tenured or non-tenured faculty member.  
5190                   Dismissal for cause proceedings will be conducted according to the procedures  
5191

established by the Hearing Committee and published in the *Faculty Handbook* and, more generally, the American Association of University Professors' "1958 Statement on Procedural Standards in Faculty Dismissal Proceedings." (pp. 11-14 of *AAUP Policy Documents and Reports*, 2001, 9<sup>th</sup> edition)

c. *Reports and Records.* In the case of an informal proceeding, a Mediation Subcommittee will report only to the parties involved. In all other cases the Hearing Panel will report to the parties involved and to the President, and keep a record in the manner specified by the appropriate procedural statement established by the Hearing Committee and published in the *Faculty Handbook*

d. *Changes to Hearing Committee Procedures.* Considering the importance of the Hearing Committee procedures to the faculty as a whole, permanent changes to Chapter V in the *Faculty Handbook* may be made only with approval of the Hearing Committee and approval of the faculty by majority vote.

## Section 11. Academic Appeals Board

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

The Registrar will then place the appeal before the Academic Appeals Board, which consists of two faculty members, drawn from the pool of Faculty Representatives to the All University Judicial Committee and Academic Appeals Board, and two students and an alternate elected annually by the Student Senate. The Registrar is responsible for contacting members of the Faculty Representatives to the All University Judicial Committee and Academic Appeals Board when hearing members are needed. The Registrar serves as non-voting Chairperson of the Board. The Board may either dismiss the appeal or change the disputed grade and so instruct the Registrar. Decisions of the Board, which are made by majority vote, are final, and notice of decisions shall be sent to the parties involved within two weeks after the decision has been rendered.

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

Students also have the right to appeal findings of academic dishonesty to the Academic Appeals Board. Such findings occur when an individual faculty member determines that

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

#### Section 12. Faculty Representatives to the All University Judicial Committee and Academic Appeals Board

Five faculty shall be elected by the general faculty, to serve staggered two-year terms. The five elected faculty representatives shall serve as the pool for potential hearing members for both the All University Judicial Committee and the Academic Appeals Board. The convenor of the Academic Appeals Board and the convenor of the All University Judiciary Committee are each responsible for contacting members of the Faculty Representatives to the All University Judicial Committee and Academic Appeals Board when hearing members are needed.

#### Section 13. Undergraduate Research Advisory Committee

- a. *Organization.* The Undergraduate Research Advisory Committee shall consist of four members of the faculty elected according to the procedures prescribed in Article IV. Committee members include broad faculty representation from across academic units on campus, as well as one non-voting student member appointed by Student Senate. The members shall serve two-year terms, with two members elected in alternate years in order to preserve continuity. The Associate Provost shall be a non-voting, ex officio member. The committee shall elect a Chair and a Vice-Chair, and the position of secretary shall rotate among the elected members of the faculty (excluding the Chair). One member, designated by the membership, will serve as a liaison to the Student Engagement Committee. A majority of the elected membership shall constitute a quorum for the conduct of business.
- b. *Functions.* The Undergraduate Research Advisory Committee serves to encourage student research, scholarly work, and creative activity at all levels of the university curriculum. The committee also assists the Associate Provost in pursuing initiatives to promote academic excellence in our students, by expanding research opportunities, enhancing the undergraduate research experience at the university, and publicizing and preparing students for prestigious post-baccalaureate awards. This committee selects the student recipients of non-department-specific summer fellowships such as the Eckley Scholars and Artists Program. The committee organizes the annual John Wesley Powell Student Research Conference, which includes selecting the keynote speaker for the conference.
- c. *Reports and Records.* The Undergraduate Research Advisory Committee shall announce the annual Eckley Scholars and Artists and the keynote speaker for the annual John Wesley Powell Student Research Conference. The committee shall maintain meeting minutes and may control access to information on grounds of administrative or individual privacy when necessary.

#### Section 14. Council for Excellence in Teaching and Learning (CETAL)

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

#### Section 15. Faculty Secretary

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

#### Section 16. Authority of Schools and Departments

Nothing in this Constitution shall be interpreted to be in derogation of the authority of schools and departments or other faculty units for the planning and initiation of

5321 personnel and curriculum actions affecting their respective units.

## 5322 E. ARTICLE IV. Nominations and Elections

### 5323 Section 1. Nominating Committee

- 5324
- 5325 *a. Organization.* The Nominating Committee shall consist of three members of the
- 5326 faculty elected for two-year terms. At least two of the three members shall be senior
- 5327 faculty. The Committee shall elect its own chairperson each year.
- 5328
- 5329 *b. Functions.* The Nominating Committee shall (1) superintend the nominations and
- 5330 elections of faculty to elective committees, (2) recommend to the President members
- 5331 of the faculty to serve as Parliamentarian, Faculty Secretary, and members and
- 5332 conveners of appointive committees, and (3) after due deliberation, recommend to
- 5333 the faculty and/or the President the creation or dissolution of committees.
- 5334
- 5335 *c. Procedures for Conducting Elections.* The Nominating Committee shall prepare and
- 5336 submit at the March faculty meeting of each year, a list of qualified candidates for
- 5337 the Promotion and Tenure Committee, the Faculty Development Committee, Hearing
- 5338 Committee, Nominating Committee, Faculty Representatives to the Board of
- 5339 Trustees, University Speakers Committee, University Council on Diversity, Strategic
- 5340 Planning and Budgeting Committee, Assessment Committee, and such other elected
- 5341 bodies as may exist or be created. The Nominating Committee shall make a
- 5342 reasonable, good faith effort to seek 1.5 nominations for each open position.
- 5343 Nominations also may be made from the floor by any faculty member, with the prior
- 5344 approval of the person being so nominated.
- 5345
- 5346 Elections to committees and offices may be conducted by electronic ballot.
- 5347 Ballots, whether paper or electronic, shall include the option of voting for
- 5348 write-in candidates. A plurality is sufficient to elect candidates to committees or
- 5349 offices. If an election is conducted at a faculty meeting and the number of candidates
- 5350 is equal to or less than the number of positions to be filled, the presiding officer may
- 5351 request that the candidates be elected by general consent. If there is an objection, the
- 5352 election must proceed by ballot.
- 5353
- 5354 When a vacancy occurs on any of the elected committees or positions under its
- 5355 jurisdiction, the Nominating Committee shall conduct a special election to fill the
- 5356 vacancy.
- 5357
- 5358 *d. Reports and Records.* The Nominating Committee shall record minutes of its
- 5359 proceedings, which shall be distributed to the faculty. It shall report the results of
- 5360 regular and special elections as soon as they are available and shall file a written or
- 5361 electronic record of such elections in the office of the Provost. The written record
- 5362 shall be destroyed prior to the next regular faculty election.
- 5363

## 5364 F. ARTICLE V. Adoption of Constitution and Amendments



5365                   Section 1. Adoption and Effective Date.

5366                   This Constitution shall become effective upon the affirmative vote of a two-thirds  
5367                   majority of those present and entitled to vote at a regular and duly convened meeting  
5368                   of the faculty of the University and the written approval of the President of the  
5369                   University. The vote shall be by secret ballot.

5370  
5371                   Section 2. Amendments and Effective Date.

5372                   Amendments to this Constitution may be proposed by the Promotion and Tenure  
5373                   Committee, the Faculty Development Committee, Curriculum Council, Council on  
5374                   University Programs and Policy, Nominating Committee, Hearing Committee,  
5375                   Assessment Committee, or by any member of the general faculty. Amendments shall  
5376                   be presented to the faculty in writing at least thirty days prior to a vote being taken  
5377                   for their adoption.

5378  
5379                   Amendments to this Constitution shall become effective upon the affirmative vote of  
5380                   a two-thirds majority of those present and entitled to vote at a regular and duly  
5381                   convened meeting of the faculty of the University and the written approval of the  
5382                   President of the University. The vote shall be by secret ballot.

5383  
5384                   G. ARTICLE VI. Parliamentary Authority

5385                   The adopted parliamentary authority shall be the latest edition of *The Standard Code of*  
5386                   *Parliamentary Procedure*.

5387  
5388                   H. ANNEX I. 1940 Statement of Principles on Academic Freedom and Tenure

5389                   The purpose of this statement is to promote public understanding and support of  
5390                   academic freedom and tenure and agreement upon procedures to ensure them in colleges  
5391                   and universities. Institutions of higher education are conducted for the common good  
5392                   and not to further the interest of either the individual teacher or the institution as a  
5393                   whole.<sup>1</sup> The common good depends upon the free search for truth and its free exposition.

5394  
5395                   Academic freedom is essential to these purposes and applies to both teaching and  
5396                   research. Freedom in research is fundamental to the advancement of truth.  
5397                   Academic freedom in its teaching aspect is fundamental for the protection of the rights  
5398                   of the teacher in teaching and of the student to freedom in learning. It carries with it  
5399                   duties correlative with rights. [1]<sup>2</sup>

5400  
5401                   Tenure is a means to certain ends; specifically: (1) freedom of teaching and research and  
5402                   of extramural activities, and (2) a sufficient degree of economic security to make the  
5403                   profession attractive to men and women of ability. Freedom and economic security,  
5404                   hence, tenure, are indispensable to the success of an institution in fulfilling its  
5405                   obligations to its students and to society.

5406  
5407                   Academic Freedom

1. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
2. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. [2] Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment. [3]
3. College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution. [4]

#### Academic Tenure

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

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

1. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.
2. Beginning with appointment to the rank of full-time instructor or a higher rank, [5] the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution, it may be agreed in writing that the new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years. [6] Notice should be given at least one year prior to the expiration of the probationary period if the teacher is not to be continued in service after the expiration of that period. [7]
3. During the probationary period a teacher should have the academic freedom that



all other members of the faculty have. [8]

4. Termination for cause of a continuous appointment, or the dismissal for cause of a teacher previous to the expiration of a term appointment, should, if possible, be considered by both a faculty committee and the governing board of the institution. In all cases where the facts are in dispute, the accused teacher should be informed before the hearing in writing of the charges and should have the opportunity to be heard in his or her own defense by all bodies that pass judgment upon the case. The teacher should be permitted to be accompanied by an advisor of his or her own choosing who may act as counsel. There should be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence, the testimony should include that of teachers and other scholars, either from the teacher's own or from other institutions. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude should receive their salaries for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution. [9]

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

#### 1940 Interpretations

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

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

#### 1970 Interpretive Comments

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

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

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

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

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

**[1]** The Association of American Colleges and the American Association of University Professors have long recognized that membership in the academic profession carries with it special responsibilities. Both associations either separately or jointly have consistently affirmed these responsibilities in major policy statements, providing guidance to professors in their utterances as citizens, in the

exercise of their responsibilities to the institution and to students, and in their conduct when resigning from their institution or when undertaking government-sponsored research. Of particular relevance is the Statement on Professional Ethics adopted in 1966 as Association policy. (A revision, adopted in 1987, may be found in AAUP, Policy Documents and Reports, 10th ed. [Washington, D.C., 2006], 171–72.)

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

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

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

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

Paragraph 3 of the section on Academic Freedom in the 1940 Statement should also be interpreted in keeping with the 1964 Committee A Statement on Extramural Utterances, which states inter alia: “The controlling principle is that a faculty member’s expression of opinion as a citizen cannot constitute grounds for dismissal unless it clearly demonstrates the faculty member’s unfitness for his or her position. Extramural utterances rarely bear upon the faculty member’s fitness for the position. Moreover, a final decision should take into account the faculty member’s entire record as a teacher and scholar.”

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

As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the

impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

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

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

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

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

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

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

1. Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
2. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.

- 5638 3. At least twelve months before the expiration of an appointment after two or  
5639 more years in the institution.  
5640 4. Other obligations, both of institutions and of individuals, are described in the  
5641 Statement on Recruitment and Resignation of Faculty Members, as endorsed  
5642 by the Association of American Colleges and the American Association of  
5643 University Professors in 1961.  
5644

5645 **[8]** The freedom of probationary teachers is enhanced by the establishment of a  
5646 regular procedure for the periodic evaluation and assessment of the teacher's  
5647 academic performance during probationary status. Provision should be made for  
5648 regularized procedures for the consideration of complaints by probationary teachers  
5649 that their academic freedom has been violated. One suggested procedure to serve  
5650 these purposes is contained in the Recommended Institutional Regulations on  
5651 Academic Freedom and Tenure, prepared by the American Association of University  
5652 Professors.  
5653

5654 **[9]** A further specification of the academic due process to which the teacher is  
5655 entitled under this paragraph is contained in the Statement on Procedural Standards  
5656 in Faculty Dismissal Proceedings, jointly approved by the American Association of  
5657 University Professors and the Association of American Colleges in 1958. This  
5658 interpretive document deals with the issue of suspension, about which the 1940  
5659 Statement is silent.  
5660

5661 The 1958 Statement provides: "Suspension of the faculty member during the  
5662 proceedings is justified only if immediate harm to the faculty member or others is  
5663 threatened by the faculty member's continuance. Unless legal considerations forbid,  
5664 any such suspension should be with pay." A suspension which is not followed by  
5665 either reinstatement or the opportunity for a hearing is in effect a summary dismissal  
5666 in violation of academic due process.  
5667

5668 The concept of "moral turpitude" identifies the exceptional case in which the  
5669 professor may be denied a year's teaching or pay in whole or in part. The statement  
5670 applies to that kind of behavior which goes beyond simply warranting discharge and  
5671 is so utterly blameworthy as to make it inappropriate to require the offering of a  
5672 year's teaching or pay. The standard is not that the moral sensibilities of persons in  
5673 the particular community have been affronted. The standard is behavior that would  
5674 evoke condemnation by the academic community generally.  
5675

5676 Endnotes:

5677 <sup>1</sup> The word "teacher" as used in this document is understood to include the investigator  
5678 who is attached to an academic institution without teaching duties.  
5679

5680 <sup>2</sup> Boldface numbers in brackets refer to Interpretive Comments that follow.  
5681

5682 <sup>3</sup> For a discussion of this question, see the "Report of the Special Committee on  
5683 Academic Personnel Ineligible for Tenure," Policy Documents and Reports, 9th ed.

(Washington, D.C., 2001), 88–91.

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

## I. ANNEX II. Excerpts from the Amended Bylaws of the Board of Trustees

### ARTICLE V. COMMITTEES OF THE BOARD

#### *Section 2. Committee on Academic Affairs*

##### *2.01 Functions*

- a. This Committee shall constantly review the academic affairs of the University, and shall develop and recommend to the Board policies in regard thereto.
- b. The Committee shall review and recommend to the Board all faculty advancements in rank and tenure, and all requests for leaves of absence.
- c. The Committee shall function as the reviewing body for all appeals from decisions of a faculty Hearing Committee established in accordance with procedures outlined in the 1940 *Statement of Principles on Academic Freedom and Tenure* of the AAUP. The Committee shall promptly report its decisions to the Board for final review by the Board.
- d. The Committee shall make recommendations to the Board for the granting of honorary degrees, and for authorizing the granting of regular degrees *in cursu*. It shall review and make recommendations regarding the proposed offering of any additional kind of earned degree, either undergraduate or graduate, or the organization of any new department, division, or school within the University.

##### *2.02 Membership and Organization*

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

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

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

*2.03* There shall be a Subcommittee on Honorary Degrees consisting of at least three members of the Committee appointed by the chairperson plus the President of the

5727 University, the academic administrator and the two elected Faculty Representatives.  
5728 The President of the University shall serve as chairperson of this Subcommittee.  
5729

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## APPENDIX A: ORGANIZATION AND GOVERNANCE OF THE UNIVERSITY, 2025

The following reflects the current operating structure and governance of the University, which is subject to change in the discretion of the Board of Trustees and University leadership in order to serve the best interests of the students and campus community and consistent with the Mission of the University.

### A. The Board of Trustees

A list of current IWU Board of Trustees Officers and Members can be found on the President's page (<https://www.iwu.edu/president/trustees.html>)

#### 1. Description of the Board of Trustees

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

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

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

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

#### ADMINISTRATION OF THE UNIVERSITY

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

5799                    *1.01* The President of the University shall be elected by the Board on  
5800 nomination of a special ad hoc committee appointed by the Board President  
5801 for that purpose alone. Such committees shall include no fewer than seven  
5802 members of the Board, one of which shall be appointed to chair the  
5803 Committee, and a lesser number of individuals who are not members of the  
5804 Board. The latter individuals shall include at least three members of the  
5805 University's full-time tenured faculty, at least one full-time staff member of  
5806 the University, and at least one full-time student of the University. The  
5807 President serves at the pleasure of the Board and ordinarily without stated  
5808 term, although a term of office may be negotiated at the discretion of the  
5809 Board.

5810                    *1.02* The President shall be the chief executive officer of the Corporation, the  
5811 official medium of communication between staff and Board and between  
5812 students and Board, and shall be responsible to the Board for the  
5813 implementation of the policies adopted by the Board.

5814                    *1.03* Subject to authority of the Executive Committee, the President may create  
5815 and fill any administrative or academic position or office deemed necessary to  
5816 the effective functioning of the University.

5817                    *1.04* Subject to authority given to him by the Board, the President may, on  
5818 behalf of the Corporation, make and enter into ordinary salary contracts,  
5819 institutional memberships, purchase agreements and the like, and sign any  
5820 other legal documents.

5821                    *1.05* The President shall make recommendations to the Board, through the  
5822 Committee on Academic Affairs, regarding all advancements in faculty rank,  
5823 advancements to tenure, and leaves of absence.

5824                    *1.06* Shall, with the Vice President of Business and Finance, prepare the  
5825 proposed annual budget of the University and present it to the Board through  
5826 the Committee on Business Affairs, and after the budget is adopted, shall see  
5827 that it is properly administered and adhered to, and.

5828                    *1.07* Shall preside at faculty meetings and exert leadership in constantly  
5829 striving for excellence in all phases of the academic and cultural programs of  
5830 the University.

5831                    See Annex II of the Constitution of the Faculty of Illinois Wesleyan University  
5832 for  
5833 Excerpts from the Amended Bylaws of the Board of Trustees relating to  
5834 Academic Affairs.

5835

## B. University Administration

A list of current President's Cabinet key personnel can be found on the President's page (<https://www.iwu.edu/president/key-personnel.html>)

### 1. The President

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

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

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

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

#### a. Comprehensive Review of the President

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

5878 of positive accomplishments along with constructive recommendations  
5879 for the President's future priorities and personal development.

5880 A comprehensive review will generally be conducted during the second  
5881 half of the President's third full year in office and every five years  
5882 thereafter. The Board Chair, in consultation with the Executive  
5883 Committee, will appoint an ad hoc committee of Trustees to identify,  
5884 collect and summarize the relevant information and report it to the Board  
5885 Chair and the Executive Committee.

5886 The Committee's findings and any report of the results of its work will be  
5887 held in strict confidence. The Committee's final report will be submitted  
5888 to the Chair of the Board of Trustees who will discuss the report with the  
5889 Executive Committee and share the results of those deliberations with the  
5890 entire Board of Trustees. The conclusions and recommendations resulting  
5891 from those conversations will be discussed with the President. The Board  
5892 Chair will also be responsible for announcing any public actions or  
5893 decisions taken by the Board or by the President in connection with the  
5894 Presidential Review and may engage the President in the process of  
5895 making any such announcements.

## 5896 **2. Vice President for Advancement**

5897 The Vice President for Advancement and the Associate Vice Presidents for  
5898 Advancement are responsible for current fund-raising, alumni affairs, and capital  
5899 fund-raising. As an incorporated, non-profit educational institution, Illinois  
5900 Wesleyan University depends upon the gifts of alumni and friends for a  
5901 substantial portion of its operating budget.

## 5902 **3. Vice President for Finance and Operations**

5903 The Vice President for Business and Finance has responsibility for the financial  
5904 affairs of the University including management of the University's resources and  
5905 preparing and administering the annual budget. Through the various directors in  
5906 charge, the Vice President for Business and Finance is responsible for the  
5907 maintenance of buildings and grounds, campus planning and engineering,  
5908 financial records, bookstore, the wellness program, human resource management,  
5909 food services, and non-academic personnel management.

## 5911 **4. Vice President for Inclusive Excellence**

5912 The Vice President for Inclusive Excellence has responsibility for guiding the  
5913 development and cultivation of an enriching, progressive, and vibrant  
5914 environment that includes the whole of Illinois Wesleyan's community of  
5915 students, faculty, and staff. The VP of Inclusive Excellence works with the  
5916 President and all Vice Presidents to create systemic and sustainable practices for  
5917 all divisions of the University so that they are more inclusive, equitable, and just.

5918

5919 **5. Vice President for Enrollment and Marketing**

5920 The Vice President for Enrollment and Marketing is responsible for developing  
5921 and executing comprehensive enrollment and marketing strategies to drive the  
5922 growth, enhance reputation, and achieve enrollment objectives. The position  
5923 collaborates with senior university leadership to develop and implement  
5924 comprehensive enrollment strategies, analyze demographic and market data to  
5925 identify enrollment opportunities, challenges, and potential target segments. The  
5926 VPEN also leads the design and execution of data-driven enrollment campaigns,  
5927 leveraging traditional and digital marketing channels. The Vice President for  
5928 Enrollment and Marketing also oversees the development and execution of  
5929 integrated marketing and communications campaigns that align with the  
5930 university's mission, values, and strategic objectives, and ensures consistent and  
5931 impactful branding across all marketing materials, digital platforms, and  
5932 communication channels.

5933 **6. Vice President for Student Affairs and Dean of Students**

5934 The Vice President of Student Affairs and Dean of Students is responsible for a  
5935 comprehensive out-of-class experience for students, including our residential  
5936 mission, student engagement, leadership development, and student well-being.  
5937 Offices reporting to this position include Residential Life, Student Involvement,  
5938 Esports, Multifaith Engagement, Arnold Health Services, Counseling and  
5939 Consultation Services, Campus Safety, the Hart Career Center and Conference  
5940 Services. Programs within the Dean of Students office include new student  
5941 orientation programs, student support/retention, and student conduct processes  
5942 (including the Student Handbook). Healthy campus initiatives include alcohol  
5943 and other drug, sexual misconduct, and hazing prevention efforts.

5944 **7. Associate Vice President for Institutional Effectiveness**

5945 The Associate Vice President for Institutional Effectiveness is responsible for  
5946 performing and supervising research requested by administrators or campus  
5947 committees; collecting and analyzing data and preparing statistical reports in  
5948 support of the University's planning for future fiscal, capital, and academic  
5949 needs; providing data to and interpreting data from state, federal, and higher  
5950 education organizations; managing the institutional research Website; and  
5951 serving as Illinois Wesleyan's representative to the Higher Education Data  
5952 Sharing Consortium.

5953 **8. Chief Information Officer**

5954 The Chief Information Officer (CIO) is responsible for the information  
5955 technology resources of the University. The CIO develops plans for addressing  
5956 the University's technology requirements and directs the staff that support the  
5957 University with technology training, instructional technology, web services,  
5958 desktop services, network services, and administrative systems. These duties  
5959 include responsibility for the campus network, administrative systems in support  
5960 of University operations, website support, servers, telecommunications,  
5961 computer labs and classrooms, desktop computer systems, and the help desk.

5962 The CIO reports to the Vice President for Business and Finance with a “dotted  
5963 line” to the Provost and Dean of Faculty.

## 5964 **C. Division of Academic Affairs**

5965 An organizational structure chart of Academic Affairs can be found in the  
5966 Provost and Dean of Faculty page ( <https://www.iwu.edu/provost/>)

### 5967 **1. Provost and Dean of the Faculty**

5968 The Provost and Dean of the Faculty, hereafter referred to as the Provost, serves  
5969 as the chief academic officer of the University and is the senior executive when  
5970 the President is absent. Within their overall responsibilities for every facet of  
5971 academic affairs, he/she bears the following specific responsibilities:

- 5972
- 5973 1. Supervising the Associate Provost, the Dean of Curricular and Faculty
- 5974 Development, and the Administrative Specialist V in the Provost’s
- 5975 Office.
- 5976 2. Supervising all academic Deans, School Directors, Department Chairs
- 5977 and Interdisciplinary Program Directors.
- 5978 3. Overseeing the resources and administrative heads of the Ames Library,
- 5979 the Center for Engaged Learning, the Grants Office, the International Office, the
- 5980 Office of Advising and Accessibility Services, the Petrick Idea Center, the
- 5981 Registrar's Office, The Writing Center.
- 5982 4. Authorizing and recruiting new and replacement faculty members in
- 5983 consultation with Deans, School Directors, Department Chairs and
- 5984 Interdisciplinary Program Directors.
- 5985 5. Managing faculty resources to meet the needs of students in fulfilling
- 5986 program and degree requirements, including supervision of course
- 5987 offerings and scheduling of courses
- 5988 6. Providing oversight of diversity issues in Academic Affairs
- 5989 7. Evaluating Deans, School Directors, Department Chairs, and
- 5990 Interdisciplinary Program Directors.
- 5991 8. Serving as an ex officio of the Promotion and Tenure Committee.
- 5992 8. Sharing administrative responsibilities for curricular design and the
- 5993 implementation of the will of the faculty in curricular matters with the
- 5994 Dean of Curricular and Faculty Development
- 5995 9. Developing policies and planning procedures, in consultation with the
- 5996 Council on University Programs and Policy and the President
- 5997 10. Updating the faculty handbook annually in consultation with the
- 5998 Council on University Programs and Policy and the Faculty Secretary
- 5999 11. Reviewing and approving operating budgets for all academic
- 6000 departments, programs, and schools
- 6001 12. Supervising the Director of Advising and providing oversight of that
- 6002 office’s assistance to students with disabilities in determining and
- 6003 providing appropriate accommodations
- 6004 13. Supervising the Grants Officer (or equivalent) and ensuring that this

- office provides meaningful faculty and program development.
14. Advancing the highest standards of academic excellence and professional ethics in every part of the University community and representing these standards and ethics to the larger national community of higher education
  15. Managing professional development for Academic Affairs' staff.
  16. Managing requests for research students who are seeking travel support or summer housing.

## **2. Associate Provost**

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

The Associate Provost bears the following specific responsibilities:

1. Maintains faculty salary information
  - a. Performs faculty salary modeling
  - b. Updates salary budget to reflect staffing changes, promotions, and raises
2. Hires part-time adjunct faculty in consultation with the Associate Dean, department chairs, program directors, and school directors
  - a. Oversees part-time salary budget
  - b. Issues contracts
3. Generates the annual Ratios Report
4. Works with the Academic Affairs team to review course enrollments, loads, and scheduling
5. Manages the academic budget for permanent equipment, in consultation with the Chief Information Officer
6. Serves ex-officio on the Undergraduate Research Advisory Committee (URAC) and supports experiential learning initiatives, including
  - a. John Wesley Powell Student Research Conference
  - b. First-Year Experience
7. Coordinates all-University honors programs including Presidential Scholars, Research Honors, and Dean's List programs, and provides supporting structure for grants/scholarships and post-baccalaureate opportunities for students (Fulbright, Rhodes, Marshall, and others)
8. Contributes to the oversight of academic standards of the University
  - a. Addresses student academic concerns
  - b. Manages cases of academic dishonesty and disqualification from the University
  - c. Participates with the Registrar in hearing cases of academic disqualification
  - d. Works with the Director of Financial Aid on merit award eligibility.

- e. Represents Academic Affairs on the Financial Aid Policy Committee
- 9. Contributes to compliance with external regulations
  - a. Works with the Director of Accessibility Services Services to meet ADA requirements
  - b. Serve as the Title IX Deputy Coordinator for Academic Affairs
  - c. Serves ex-officio on the Institutional Animal Care and Use Committee (IACUC)
  - d. Serves ex-officio on the Institutional Review Board (IRB)
- 10. Oversees editing the Academic Affairs portion of the University Catalog
- 11. Assigns and oversees space in academic facilities
  - a. Office space
  - b. Troubleshooting classroom space conflicts
- 12. Serves as Academic Affairs administrative representative to the Capital Projects Committee
  - a. Furniture and renovations of classrooms
  - b. Instructional technology updates
  - c. Renovations
  - d. New buildings
- 13. Supervises the Administrative Specialist, III position
- 14. Performs other responsibilities as assigned by the Provost & Dean of the Faculty

### **3. Dean of Curricular and Faculty Development**

The Dean of Curricular and Faculty Development provides assistance to the Provost on a wide range of academic functions, particularly those supporting curriculum and faculty development. The position provides opportunities to guide key campus initiatives, especially related to the Shared Curriculum, short-term study abroad, academic technology, best practices of teaching and learning, support for scholarly and artistic endeavors, faculty development at all career stages, and recognition of faculty excellence. The Dean of Curricular and Faculty Development serves as the Academic Affairs liaison to committees related to curriculum, instruction, and faculty development, in particular the Assessment Committee (AS), Curriculum Council (CC), the Committee for Excellence in Teaching and Learning (CETAL), and the Faculty Development Committee (FDC). They also oversee the Thorpe Center for Faculty Development and its activities and charges.

The Dean of Curricular and Faculty Development reports to the Provost and is part of an Academic Affairs leadership team composed of the Provost and Dean of Faculty, Associate Provost, and their administrative specialists. The Dean of Curricular and Faculty Development will supervise an Administrative Specialist III, the Lead Instructional Designer, and the Instructional Technology Specialist.



The Dean of Curricular and Faculty Development will have no teaching responsibilities. A salary increase equivalent to three-ninths base salary will be provided. The Dean is entitled to all vacation and other benefits offered by the University. Modest funds are available for professional development and memberships related to the administrative role. This is a twelve-month, three-year position eligible for a one-time renewal.

The Dean of Curricular and Faculty Development bears the following specific responsibilities:

1. Provides vision and direction for:

a. Faculty Development, including guiding the New Faculty Orientation and the Pre-Tenure Faculty Mentoring Program, fostering faculty development programs like faculty reading groups and scholarship circles and programs for mid-career faculty development, coordinating the Sabbatical and Pre-Tenure Leave program with the Provost's Office.

b. Curricular Development, particularly the Shared Curriculum program, including advocating for diversity in the curriculum, guiding responses to assessment of the Shared Curriculum, staffing Gateway sections, and updating the Shared Curriculum section of the Catalog annually. Responsibilities also include providing feedback to academic units on curricular ideas, overseeing the external review process, and handling petitions for HLC requirements like online accreditation.

c. Academic Technology and Online Learning and its accreditation, working closely with CETAL, the Lead Instructional Designer, the Instructional Technologist, and ITS to coordinate the development of the best practices of teaching and learning among faculty, including those pertaining to technology and information fluency.

d. Faculty-led travel courses, overseeing course development and working with the International Office to maintain a 3-year rotation of courses and train faculty in risk management and budgeting.

e. Other responsibilities, coordinating and maintaining the calendar for the external program reviews, manages faculty travel requests and course fees;

f. Faculty Leadership and Recognition, in particular Faculty Colloquia, University Excellence Awards, and creating and maintaining a Dean and Chair Handbook.

2. Serves as the Academic Affairs liaison and works closely with the chair/director to advance the following key committees and offices:

- 6142  
6143 a. CETAL and FDC, coordinating the shared budget for grants and  
6144 programming, and assisting with Faculty Development Handbook updates.  
6145  
6146 b. CC and Resource Evaluation Group, assisting with significant curricular  
6147 initiatives and handbook updates.  
6148  
6149 c. Assessment Committee (by invitation), coordinating Shared Curriculum  
6150 assessment with CC and providing a connection between assessment work  
6151 and administration.  
6152  
6153 d. Writing Program, supporting the Writing Program Director's vision and  
6154 assessment processes.  
6155  
6156 e. Additionally attends meetings of: the Academic Petition Committee  
6157 (along with the Registrar); Academic Affairs sub-committees; Chairs,  
6158 Deans and Directors; Faculty Meeting, and Board of Trustees (as invited  
6159 by the Provost).  
6160

6161 3. Supervises the Lead Instructional Designer, the Instructional Technologist, and  
6162 the Administrative Specialist III in the completion of essential Thorpe Center  
6163 functions.  
6164

6165 4. Performs other responsibilities as assigned by the Provost and Dean of the  
6166 Faculty.  
6167

6168 The Dean of Curricular and Faculty Development shall be appointed by the  
6169 Provost from among the senior faculty. The appointment is for a three-year term,  
6170 with the possibility of a one-time renewal. The position is not intended to become  
6171 a career for its occupant; rather, it is a term assignment, with the expectation  
6172 being that after serving in the role, the Dean of Curricular and Faculty  
6173 Development will resume their duties on the regular faculty. While serving in the  
6174 role, coverage of the Dean's former faculty responsibilities will be negotiated on a  
6175 case-by-case basis as dictated by demonstrated need. The Provost will request that  
6176 nominations for the position be sent to the chair of CUPP. CUPP will then review  
6177 the nominations and act as an advisory screening committee to the Provost.  
6178

#### 6179 **4. Other Academic Administrators and their Responsibilities**

##### 6180 **a. Deans, School Directors, Department Chairs and** 6181 **Interdisciplinary Program Directors** 6182

6183  
6184 Deans, School Directors, Department Chairs and Interdisciplinary  
6185 Program Directors function as links between the Provost and the  
6186 faculty over whom they have authority. They are the official voice for  
6187 their academic units in matters of personnel and curricula and are

responsible for calling and presiding over meetings of respective faculties. When they deem it appropriate, they provide for the involvement of students in deliberations and decisions affecting their areas. In addition, they have specific responsibilities for:

1. Making recommendations to the Provost regarding all aspects of faculty status such as salary, rank, tenure, and leaves. In order to fulfill this responsibility, they are required to participate in evaluation of the teaching and in the counseling of the faculty members in their units. They participate with the Provost and the President in selection of faculty. They have responsibility to counsel and assist faculty members under their direction with regard to professional development, teaching effectiveness, and other matters relating to achievement of standards associated with advancement and tenure. They are required to maintain files of student evaluations for each departmental faculty member for the three most recent academic years.
2. Advising and assisting faculty in their academic units with regard to their professional growth at all stages of their careers, in consultation with the Dean of Curricular and Faculty Development and the Faculty Development Committee.
3. Presenting proposed changes in the curriculum of their areas to the Curriculum Council along with rationale for such changes. They represent their departments and schools in recommending to the Provost specific details for each term's course offerings and staffing in their respective areas. They are also responsible for providing the editor of the *University Catalog* with all necessary information on departmental curricula and degree requirements for majors. They should maintain a complete file of syllabi for all course offerings in their respective areas.
4. Managing course offerings and faculty teaching assignments for the academic unit to meet the needs of students in fulfilling programs and degree requirements in the Shared Curriculum, major and minor programs, and interdisciplinary programs.
5. Representing their respective areas in submitting planning documents and annual budget recommendations to the Provost and operating within their allotted budgets each year. Special needs affecting the Provost's budget for administrative travel, forums and honoraria, must be communicated during the budget-making process each year.
6. Communicating to the Provost, Associate Provost, or University Librarian, the needs of their area for acquisition, rental, or assignment of space or learning resources. Acquisition, maintenance and repair of University facilities and equipment are communicated to the Associate Provost. See Chapter V.F for policy statement on permanent equipment

6236 **b. University Librarian**

6237  
6238 The University Librarian is responsible for managing the University library's  
6239 print, electronic, and personnel resources. The Librarian manages and supervises  
6240 all aspects of library service to the campus community including collection  
6241 development of print and non-print resources; liaison relationships with each  
6242 academic department/school/program; acquisition, cataloging, and processing of  
6243 all library materials; information services related to print and library electronic  
6244 resources; fiscal management of the operating and grant budgets; facility  
6245 planning; and library personnel. The University Librarian reports to the Provost.  
6246

6247 **c. Registrar**

6248  
6249 The Registrar is responsible for maintaining the University's student records,  
6250 including transcripts and verification of degrees earned. Working with the  
6251 Provost, Associate Provost, and the Associate Dean for Curriculum and  
6252 Instruction and in consultation with Chairs/School Directors/Program Directors,  
6253 the Registrar develops the program of classes for each academic year and  
6254 supervises the registration of students for classes. Working with the Associate  
6255 Provost, the Registrar coordinates student appeals processes. Working with the  
6256 Associate Provost and the Director of Academic Advising, the Registrar also  
6257 coordinates academic advising. The Registrar reports to the Provost.  
6258

6259 **d. Director of Athletics**

6260  
6261 The Director of Athletics is responsible for supervising all intercollegiate athletic  
6262 faculty/staff, facilities, and activities. Working with the Division of Student  
6263 Affairs, the Director also coordinates intramural athletic programs. He/she  
6264 develops and administers athletic policies and programs consistent with the  
6265 academic mission of the University and with the ideals of Division III of the  
6266 National Collegiate Athletic Association. The Director of Athletics reports to the  
6267 President.  
6268

6269 **e. Director of the Petrick Idea Center**

6270  
6271 The Director of Petrick Idea Center oversees the development and operations of  
6272 the creative and entrepreneurial enterprises developed primarily by the students of  
6273 Illinois Wesleyan University. Working with key faculty and other staff members,  
6274 the Petrick Director oversees programming and events to support students as well  
6275 as the wider faculty, staff, and alumni of the University and the residents,  
6276 businesses, and organizations of the surrounding community and region. The  
6277 Director of the Petrick Idea Center reports to the Provost.  
6278

6279 **5. Comprehensive Review of the Provost**

6280  
6281 The President shall conduct a comprehensive review of the Provost every four

years, with the first review commencing in the fall of the Provost's fourth year. As part of that review the President will solicit advice on the Provost's performance from the Board of Trustees (especially members of the Academic Affairs Committee), senior administrative officers, staff members who report to the Provost, and the faculty (see Appendix G for details on the process for faculty involvement). The President will prepare a summary report describing the principles, procedures, and criteria of the review, including a statement of whether a reappointment has occurred, for the campus community when the review has been completed.

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

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

## **7. Comprehensive Review of the Dean of Curricular and Faculty Development**

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

## **D. Administrative Committees**

### **1. Calendar Committee**

- a. Charge: The Calendar Committee generates the Academic Calendar.
- b. Membership: Provost, Vice President for Finance and Operations, Vice President for Student Affairs and Dean of Students, Registrar (Chair), Associate Provost, Dean of Curricular and Faculty Development, Chief of Staff, Director of Alumni Engagement, Associate Dean of Students for Campus Life, Dean of Students for Community Standards and Advocacy, Director of Athletics, representative from the Admissions Office, the Chair of Curriculum Council, Student Senate President, and two student

representatives serving on Curriculum Council.

## **2. Endowed Professorships and Chairs Committee**

- a. Charge: The Endowed Professorships and Chairs Committee reviews CV's and supporting documentation of all candidates nominated for initial appointment to endowed professorships and chairs, as well as the renewal of such positions.
- b. Membership: One current holder of an Illinois Wesleyan University endowed chair, two members of the Promotion and Tenure Committee, two members of the Faculty Development Committee, the Provost (*ex officio* of the Promotion and Tenure Committee), and the Dean of Curricular and Faculty Development (*ex officio* of the Faculty Development Committee).

A full description of the selection process can be found in Appendix F.

## **3. Faculty Athletic Representative**

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

## **4. Information Technology Governance Committee**

- a. Charge: The Information Technology Governance Committee (ITGC) is responsible for aligning Information Technology's investments in solutions for the university with the university's stated mission, goals, and strategic plans and priorities. The ITGC is advisory in that it provides recommendations to the Chief Information Officer and the President's Cabinet concerning IT priorities, projects, and policies. The ITGC reviews, discusses, and deliberates as a group. While consensus is certainly desirable, it is not required. Thus, no votes are taken. The CIO as chair/convener of the ITGC brings forward to executive leadership the essence of the discussions/debates, including dissenting perspectives, for the Cabinet to consider in making final decisions.
- b. Membership: Chaired by the CIO, the membership includes:
  - 8-10 members appointed by the President's Cabinet
  - 2 members of the IT team (*ex officio*)
  - Invited guests and staff resources, as needed(In the Fall of 2022 the functions of the University Technology Forum were absorbed by the ITGC when it was created.)

6376  
6377 **5. Retention Committee**

- 6378 a. Charge: The Retention Committee (RC) is responsible for the collection  
6379 and examination of student data elements regarding student attrition and  
6380 for exploring the resultant patterns and trends related to students'  
6381 academic and personal development. The RC is advisory in that it  
6382 provides detailed information to student-facing administrators concerning  
6383 admissions, academic advising, academic progress, athletics, campus life,  
6384 diversity, equity, and inclusion, financial aid, and institutional  
6385 effectiveness. The Associate Vice President of Institutional Effectiveness  
6386 (AVPIE) as chair of the Retention Committee brings forward to executive  
6387 leadership any noteworthy discoveries concerning student success for the  
6388 Cabinet to consider.
- 6389 b. Membership: Associate Vice President of Institutional Effectiveness  
6390 (Chair), Associate Registrar, Associate Vice President for Enrollment  
6391 Management, Athletic Director, Dean of Students/Campus Life, Director  
6392 of Academic Advising, Director of Financial Aid, Institutional  
6393 Effectiveness Specialist, Registrar, and the Vice President for Inclusive  
6394 Excellence.  
6395

## APPENDIX B: FACULTY COMMITTEE PROCEDURES

### A. General Faculty Meeting Procedures

#### 1. Call of the Meeting

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

#### 2. Preparation of the Agenda

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

#### 3. Order of the Agenda

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

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

#### 4. Conduct of the Discussion



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

#### **5. Consent Agenda**

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

#### **6. Voting Procedures**

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

#### **7. Postponing a Motion**

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

### **B. Procedures and Policies for Standing Committees**

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

*a. Procedures for Conducting Elections.* The out-going CUPP representative shall call for nominations by February 1. This call will be repeated to the general faculty by the CUPP Chair at the February faculty meeting. Nominations will be accepted until the second Monday of February. All nominated candidates will be included on the ballot once the CUPP representative verifies that the candidates are willing to serve. The slate of nominees will be announced on the second Monday in February. For a period of two days, additions and/or deletions to the announced slate will be accepted and announced as they occur, after which the final slate will be announced. Members of the academic unit will have until the third Monday of February to cast their votes. If only one individual is nominated, that individual will be deemed the CUPP representative. The election should be concluded and the results should be announced by the outgoing CUPP representative to both the academic unit and the general faculty by the end of February.

*b. Election of Officers.* At the changeover meeting in the spring CUPP will elect a Chair and a Vice Chair from the elected faculty representatives.

*c. Duties of the Chair.* The Chair's term will begin immediately after election. The

CUPP Chair will attend relevant meetings with campus administration and will negotiate for reasonable compensation for any summer work. The Chair shall prepare an agenda for each meeting, providing time for both administrative and faculty items to be included. The Chair also represents the Council to the faculty in hearings and faculty meetings wherein reports should be given regularly including those on strategic planning and other matters. The Chair or a designee serves on the President's Cabinet and attends meetings of the Committee on Business Affairs and the Executive Committee of the Board of Trustees. Based upon the recommendation of CUPP members, the CUPP Chair shall inform the President's office of the specific standing committee each of the Representatives to the Board will attend for the year. The Chair and Vice Chair will meet regularly throughout the academic year with the Chair and Vice Chair of Curriculum Council to ensure dialogue between the two groups, especially regarding strategic curricular planning and other issues that overlap between the two committees.

d. *Duties of the Vice Chair.* The Vice Chair will assume the duties of Chair in the absence of the Chair. The Vice Chair will aid the Chair in preparation for meetings and hearings and will usually join the Chair when meeting with members of the Administration individually. The Vice Chair will be responsible for administering the overhead computer display at CUPP meetings and Faculty Meetings. The Vice Chair is also responsible for tracking all motions that require changes in the Faculty Handbook, and will work with the Office of the Provost to ensure changes are made in a timely manner, as outlined in Section VI: Amendment of Handbook.

e. *Meetings and Regular Structure.* CUPP will invite the President, Provost and other members of the administration on a regular basis with the purpose of discussing strategic planning and major policy issues. The agenda will be prepared by the Chair in consultation with the Vice Chair. Annually, the Provost will meet with CUPP to discuss the Instruction and Library budget and the university's faculty salary policy. CUPP may request other faculty, staff, administrators, or students be present when strategic planning involving areas of their particular responsibility or concern are being discussed.

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

f. *Executive Session.* Some items discussed in CUPP are appropriately kept confidential; however, executive session should neither stifle open exchange of information nor give the appearance of doing so. Executive sessions should be for a single topic, have a clearly defined start and end, and have a clearly defined purpose. Appropriate reasons for executive session might include personnel policy matters dealing with individuals, matters under litigation, or delicate financial information.

g. *Minutes.* The job of preparing minutes of meetings will rotate among the elected

6531 faculty representatives (except for the Chair and Vice Chair) in alphabetical order.  
6532 As timely circulation of the minutes leads to better feedback on CUPP discussions  
6533 from the faculty, drafts of minutes should be prepared for the next meeting of  
6534 CUPP. CUPP may share the minutes with visiting administrators for their review  
6535 and suggested clarifications; however final approval of the minutes resides with  
6536 CUPP.

- 6537 *h. Procedures for voting on non-contingent line proposals.* Each CUPP member is  
6538 given as many votes as the number of tenure lines provided by the Provost. CUPP  
6539 members may not vote on proposals from their home departments and must  
6540 recuse themselves from discussion of those proposals. After discussion of the  
6541 proposals, voting will be simultaneous and by secret ballot. Bullet voting (voting  
6542 for fewer proposals than the number of votes allotted) is permitted. Cumulative  
6543 voting (voting multiple times for the same proposal) is not permitted. The total  
6544 number of votes for a proposal is divided by the number of members eligible to  
6545 vote for that proposal. The proposals are then ranked based on the mean (average)  
6546 scores. Proposals that receive the highest averages will be recommended to the  
6547 Provost as approved. Ties can be broken in one of two ways: either the committee  
6548 may use preference voting to rank tied proposals, or the committee may decide to  
6549 recommend more or fewer proposals for approval than can be filled.

- 6550 *i. Policies for New Tenure and Teaching Track Lines.*

6551  
6552 **Preliminary Steps**

6553  
6554 Deans, Chairs and Directors will consult with all full-time, non-contingent faculty  
6555 members in the program that would house the proposed line and in related  
6556 programs to gather their ideas about curricular needs which should include a  
6557 survey of the current state of the field and a reconsideration of the expertise of  
6558 non-contingent faculty already in the program. If current non-contingent full-time  
6559 faculty members have expertise in the area of the anticipated opening, they will be  
6560 allowed to make written proposals for shifts in their duties to take advantage of  
6561 opportunities to develop and expand their academic capabilities.

6562  
6563 The faculty member(s) and Dean, Chair or Director will discuss any such proposals  
6564 with the Provost to determine the appropriateness of redefining existing faculty  
6565 members' duties. Both the Dean, Chair or Director and the Provost have a  
6566 responsibility to encourage career development in tenure-track and teaching track  
6567 faculty and will balance this responsibility with concern for the best interest of the  
6568 programs and students involved to determine whether to offer the faculty member  
6569 all or part of the duties anticipated for the position. Such a negotiation may,  
6570 therefore, necessitate a revision of the anticipated opening.

6571  
6572 **Procedures**

6573 **Regular hires**

6574 As soon as possible during the spring semester the Provost will remind Deans,  
6575 Chairs, and Directors of the annual deadline for receipt of applications for tenure  
6576 and teaching-track lines. In addition, the Provost will meet with CUPP in the  
6577 spring semester to discuss the long-term curricular needs of the university for the

purpose of collaboratively determining the appropriate number of tenure line searches. Before March 1, the Provost will inform CUPP, deans, chairs and directors of the number—or, if necessary, a range—of tenure and teaching track lines that can be approved. Deans, Chairs, and Directors will submit applications for tenure-line and teaching track positions to the Provost’s Office and CUPP by the Monday after Spring Break. CUPP will review all applications received, and consider each within the context of broad university strategic curricular needs, as well as individual schools, department, program or university-wide needs. CUPP may request further information. CUPP’s recommendations will be shared with the Provost by April 15 (or the following Monday if the 15th falls on a weekend day). The Provost will inform Deans, Chairs, and Directors of proposals that will be recommended to the Board of Trustees by April 30 (or the following Monday if the 30th falls on a weekend). The Provost will communicate final decisions immediately after the May Board meeting.

### **Regular Authorization**

CUPP will rank the proposals with possible ties using the criteria outlined below and share their findings with the Provost and faculty. To aid the Provost in the decision-making, CUPP will share a succinct narrative to clarify CUPP’s rankings.

### **Emergency Hires**

If urgent needs or opportunities arise outside the parameters of a regular cycle, the dean/chair/director can request a line directly from the Provost.

### **Proposals**

In preparing proposals Deans, School Directors, Department Chairs and Interdisciplinary Program Directors shall consider: what is the evidence that this position will be a necessary one to serve students and the mission of IWU for the next six years and beyond (teaching track) or for several decades (tenure track)? A clear rationale for the type of position should be included in the proposal. The appropriate detail and length of proposals will vary, but should generally be two single-spaced pages in length and no more than four single-spaced pages in length, excluding appendices.

Applicants should include a sample schedule of 6 (for tenure-track) or 8 (for teaching-track) courses. The key information needed is whether courses are major, shared curriculum, or elective and the levels of these courses; specific course numbers are not needed.

### **Criteria for Approving Tenure Line and Teaching Track Positions**

#### **Evidence of reliance on a position.**

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

- the primary major/minor program(s) to be served by this position (see Evidence of programmatic needs below).

- other programs (including disciplinary and interdisciplinary)
- all-university programs, especially Shared Curriculum
- the mission of IWU
- potential future enrollment (consult with Office of Institutional Effectiveness for current data)
- external accreditation or professional certification criteria

#### **Evidence of programmatic needs.**

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

- program profile, vision, goals
- current curricular needs
- expected program benefits and outcomes
- student requirements (programmatic and/or professional)
- the balance between scholarship and artistic engagement of the position vs. the curricular contributions

#### **Evidence of enrollment pressures.**

Enrollment pressures are strains induced by high student demand for courses presently offered in a department, school, or program. Provide data for each of the following:

- units generated per teaching unit (i.e. total student units generated and total teaching units)
- ratio of majors or minors per tenure line/teaching track line, and
- reliance on contingent faculty to teach core courses (i.e. adjuncts and VAPs).

#### **Criteria for Approving Library Faculty Tenure Line Positions**

##### **Evidence of reliance on a position.**

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

- the primary major/minor program(s) to be supported by this position's liaison responsibilities,
- other programs (including disciplinary and interdisciplinary programs, high-impact practices, curricular initiatives),
- all-university programs (including the Shared Curriculum, Summer Term, Writing Program)
- the mission of IWU.

##### **Evidence of Library needs.**

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

multifaceted and adaptable role of library faculty on campus:

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

#### **Evidence through data/metrics.**

Proposals coming from the library faculty should include a narrative covering the sections above, supported by relevant data and metrics that demonstrate where the library is under pressure to maintain, expand or improve programs or services.

These data and metrics can come from a multitude of quantitative sources:

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

#### **Conduct of Searches**

The Provost provides departments with guidelines on the conduct of searches.

Searches are expected to be national and open and to follow generally accepted ethical practices as defined by national scholarly organizations and by the AAUP.

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

#### **Line Splitting**

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

## **2. Promotion and Tenure Committee (PAT) Procedures**

PAT procedures can be found in Chapter III of the Faculty Handbook.

### 3. Faculty Development Committee (FDC) Procedures

- a. *Election of Officers.* The Faculty Development Committee will convene for its organizational meeting within twenty-one (21) days of its election. The Chair from the preceding year will preside. If there is no Chair, the Dean of Curricular and Faculty Development will preside. The Committee at this time will elect its officers, which will consist of a Chair and a Vice Chair. The Dean of Curricular and Faculty Development may sit with the Faculty Development Committee at any meeting if s/he so chooses.
- b. *Meetings and Regular Structure.* The Faculty Development Committee will meet regularly with the Dean of Curricular and Faculty Development and/or Provost to discuss policies and procedures related to faculty development, including but not limited to faculty professional travel funding, sabbatical and pre-tenure leaves, and artistic and scholarly development grants. The Committee may make recommendations to the Dean of Curricular and Faculty Development and Provost about the creation or discontinuation of any program related to faculty development. Annually, the Committee will also publish, in cooperation with the Dean, the *Faculty Development Handbook* in a timely manner; that *Handbook* will outline policies, application procedures, and deadlines related to all professional travel, leave, and University-funded or -administered grant programs. Deliberations of the Faculty Development Committee about all grant and leave proposals are confidential.
- c. *Conduct of Business.* Three times a year, according to a schedule published in the [\*Faculty Development Handbook\*](#), the Faculty Development Committee will review all applications from individual faculty members or groups of faculty for University-funded or -administered research grants. Its reviews will be based on the merits of the proposals in accordance with guidelines and criteria published in the *Faculty Development Handbook* or announced to the General Faculty through the regularly published minutes of the Committee. The Faculty Development Committee will operate in accordance with the principle that applicants and supervisors must make a case for proposals, and the Committee will in all cases give due regard to the quality of the proposal presented. In conducting its reviews, the Faculty Development Committee may establish procedures whereby members of other elected or appointed faculty committees with special expertise in areas for which proposals have been solicited (e.g., International & Global Studies, Information Technology, Shared Curriculum, and so forth) participate with the Faculty Development Committee members in proposal review. With the exception of the Dean of Curricular and Faculty Development, any member of the Committee who is chiefly responsible for the written evaluation of a faculty member's proposal will be excused from the meeting when that evaluation and the faculty member's proposal are discussed.
- d. *Role of the Dean.* During the Committee's deliberations, the Dean of Curricular and Faculty Development will not rate proposals as a member of the Committee.

6763 Instead, he/she will sit with the Faculty Development Committee to provide the  
6764 following assistance:

- 6765 • helping the Committee see how to maximize the combination of available  
6766 internal and external resources to provide the most faculty support possible
- 6767 • explaining the terms of all funding options and helping the Committee  
6768 interpret whether a particular proposal qualifies for funding from a particular  
6769 source of support
- 6770 • providing, when asked, copies of the reports of previously funded projects
- 6771 • answering questions about general University policies and procedures that  
6772 impinge upon proposed projects
- 6773 • assisting the Committee in interpreting published guidelines for evaluating  
6774 proposals

6775 The Faculty Development Committee will recommend to the Dean of Curricular  
6776 and Faculty Development grants that it wishes to be fully or partially funded, and  
6777 the Dean will dispense available funds to successful applicants according to  
6778 established University policies and procedures for accounting for such funds.  
6779 Applicants will be notified of the Committee's decisions through letters signed  
6780 jointly by the Chair of the Faculty Development Committee and the Dean of  
6781 Curricular and Faculty Development.  
6782

- 6783 e. *Other Work.* In the fall semester of each year, according to criteria, procedures,  
6784 and schedules published in the *Faculty Development Handbook*, the Faculty  
6785 Development Committee will review all applications for sabbatical and pre-tenure  
6786 leaves. With the exception of the Dean of Curricular and Faculty Development,  
6787 any member of the Committee who is chiefly responsible for the written  
6788 evaluation of a faculty member's proposal will be excused from the meeting when  
6789 that evaluation and the faculty member's proposal are discussed. The Dean will  
6790 not rate leave proposals as a committee member. He/she will sit with the  
6791 committee to provide information on University policies and procedures relating  
6792 to proposed projects and to assist in interpreting published guidelines. In the case  
6793 of sabbatical and pre-tenure leaves, the committee will also meet with the Provost  
6794 to discuss its final reviews of all proposals. Applicants are notified of the results  
6795 of the Faculty Development Committee's deliberations in a letter signed jointly  
6796 by the Chair of the Faculty Development Committee and the Dean of Curricular  
6797 and Faculty Development. The Provost will then consult with the President before  
6798 making final leave recommendations to the Board of Trustees at its February  
6799 meeting.

#### 6800 4. Curriculum Council (CC) Procedures



- 6801 a. *Procedures for Conducting Elections.* The out-going CC representative shall call  
6802 for nominations by February 1. This call will be repeated to the general faculty by  
6803 the CC Chair at the February faculty meeting. Nominations will be accepted until  
6804 the second Monday of February. All nominated candidates will be included on the  
6805 ballot once the CC representative verifies that the candidates are willing to serve.  
6806 The slate of nominees will be announced on the second Monday in February. For  
6807 a period of two days, additions and/or deletions to the announced slate will be  
6808 accepted and announced as they occur, after which the final slate will be  
6809 announced. Members of the academic unit will have until the third Monday of  
6810 February to cast their votes. If only one individual is nominated, that individual  
6811 will be deemed the CC representative. The election should be concluded and the  
6812 results should be announced by the outgoing CC representative to both the  
6813 academic unit and the general faculty by the end of February
- 6814 b. *Election of Officers.* The Chair of the Council shall be elected at the April  
6815 changeover meeting when new members join the Council. The vote shall be by  
6816 secret ballot and take place after the departing members, with the exception of the  
6817 outgoing Chair, leave the meeting. A majority of the voting faculty members then  
6818 in office shall constitute a quorum for conducting elections. If Council members  
6819 must be absent from the changeover meeting, the outgoing chair will ask them for  
6820 nominations in advance of the meeting and, if possible, arrange for them to vote  
6821 remotely.
- 6822 Each Council may determine whether candidates are identified by open  
6823 nomination or nominating ballot. In either case, a member who wishes not to  
6824 serve must so indicate prior to the vote. A separate nomination and ballot shall be  
6825 used for each position to be filled. The outgoing Chair presides over the election  
6826 of the new Chair. Election of the other officers (for example a Vice Chair) is  
6827 presided over by the new Chair.
- 6828 c. *Meetings and Regular Structure.* Regular meetings shall be scheduled at the  
6829 beginning of each semester; additional meetings may be called by the Chair as  
6830 needed.
- 6831 d. *Conduct of Business.* A majority of the voting faculty members then in office  
6832 shall constitute a quorum for the conduct of business. A member other than the  
6833 Chair of the Council, acting as secretary, shall record minutes of each meeting,  
6834 present them to Curriculum Council for approval at the next meeting and  
6835 subsequently distribute copies to all faculty.
- 6836 Through the Chair, the Council shall report to the faculty at the next regularly  
6837 scheduled Faculty Meeting. All proposals are presented in the faculty agenda in  
6838 summary form.

6839 The CC will bring any Request for Curriculum Action that it has approved to the  
6840 General Faculty Meeting for final approval. Any requests approved by the CC  
6841 that are of a routine or repetitive nature may be placed on the consent agenda or,  
6842 if they require a rationale or do not fit in the format of the consent agenda, on the  
6843 consent agenda addendum. A request that has not been approved by the CC may  
6844 be brought to discussion to the General Faculty Meeting by a vote of the CC.

6845 The Chair and Vice Chair will meet regularly throughout the academic year with  
6846 the Chair and Vice Chair of CUPP to ensure dialogue between the two groups,  
6847 especially regarding strategic curricular planning and other issues that overlap  
6848 between the two committees.

6849 Any new courses, majors, or minors requiring new resources will be presented to  
6850 the Resource Evaluation Group (REG) comprising the Chair and Vice Chair of  
6851 the CC, the Provost, Associate Provost, Dean of Curricular & Faculty  
6852 Development, and the Chair and Vice Chair of CUPP, for further discussion, to  
6853 inform CC discussions before the CC makes a decision on the proposal; if  
6854 approved, the course will be flagged and presented to the faculty for discussion.

6855 The Chair is responsible for providing an accurate record of Council  
6856 activity to the Office of the Provost at the end of the Council year.

6857 e. *CC Deadlines.* All curricular proposals and student proposals for special  
6858 interdisciplinary or contract majors and minors must be submitted to the Thorpe  
6859 Center on forms provided by the Curriculum Council and published in the  
6860 Curriculum Council Handbook. Curricular proposals submitted by academic units  
6861 must be signed by the appropriate administrator of all academic units affected by  
6862 the proposal. Summer Term proposals shall be submitted to the Thorpe Center for  
6863 the same review process as applies to fall and spring courses. Summer Term  
6864 courses that are exempt from the review process procedure include special topics  
6865 courses (typically numbered 170, 270, or 370) that are not requesting Shared  
6866 Curriculum credit. Proposals for special interdisciplinary majors/minors must be  
6867 signed by the chairs of at least two departments or programs involved in the  
6868 proposed program.

6869 Changes to be included in the Spring Semester and Summer Term Program of  
6870 Classes must be submitted by the second week in September since the last  
6871 opportunity for approval by the faculty is the October faculty meeting.

6872 Changes proposed to be included in the next year's University Catalog must be  
6873 submitted by the first week of November since the last opportunity for approval  
6874 by the faculty is the December Faculty Meeting.

6875 Changes proposed to be included in the Fall Programs of Classes must be  
6876 submitted by the third week of February since the last opportunity for approval by  
6877 the faculty is the March Faculty Meeting.

6878 Upon receipt of the completed forms, Thorpe Center staff shall make a copy of all  
6879 requests available to members of the Council.

6880 *f. Reports and Records.* The Council shall securely retain or dispose of records  
 6881 according to the Records Management Policy for CC found below.

6882 *g. Executive Session.* Executive sessions should be for a single topic, have a clearly  
 6883 defined start and end, and have a clearly defined purpose. Appropriate reasons for  
 6884 entering an executive session might include discussions of delicate financial  
 6885 information, curricular staffing issues dealing with individuals, or curricular  
 6886 matters under litigation. The Council shall maintain minutes of all executive  
 6887 session discussions in accordance with the CC Records Management Policy.

6888 *h. CC Records Management Policy*

| Document  |  |                  |                            | Action to be Taken                         |                        |                   |
|---|--|------------------|----------------------------|--|------------------------|-------------------|
| Records Group   | Official Copy holder                       | Retention Period | Retention Event            | Secure Shred/ Delete Electronic            | Permanent ly Retained  | Archives / Access |
| Agenda, full semester                                       | Committee                                  | Current          | –                          | Chair/end of AY                            | —                      | —                 |
| Agenda, meetings  | Committee                                  | Current          | –                          | Chair/end of AY                            | —                      | —                 |
| Proposals and revised proposals                             | Dean of Curricular and Faculty Development | Current          | Upon approval of committee | Dean of Curricular and Faculty Development | —                      | —                 |
| Working and reference documents related to carryover agenda | Committee                                  | Current          | —                          | Chair/end of academic year                 | Shared with next chair | —                 |
| Minutes – public – draft                                    | Committee                                  | Current          | —                          | Chair/end of academic year                 | —                      | —                 |
| Minutes – executive – draft                                 | Committee                                  | Current          | —                          | Chair/end of academic year                 | —                      | —                 |
| Minutes – public  | Committee                                  | Permanent        | Upon distribution          | —  | University Archives    | Retained in a     |

|                             |           |         |                            |                            |   |                   |
|-----------------------------|-----------|---------|----------------------------|----------------------------|---|-------------------|
| – final                     |           |         |                            |                            |   | public collection |
| Minutes – executive - final | Committee | Current | Upon approval of committee | Chair/end of academic year | — | —                 |

6889 Definitions from "Records Management at Illinois Wesleyan University":  
6890  
6891 Official copy holder: office with responsibility for following the retention  
6892 schedule  
6893 Permanent: official copy will not be destroyed; suggest transfer to Archives after  
6894 no more than 10 years in the official copy holder's office  
6895 Current: retain only for the current fiscal or academic year  
6896 -- : no action necessary  
6897 Notes:  
6898 \*Physical Plant has contract, process in place for secure shredding.  
6899 \*\*Timeline and responsibility for disposing of electronic documents created by  
6900 Provost's Office will be established. Guidelines above apply to documentation  
6901 regardless of format (e.g., electronic, print)

## 6902 **5. Hearing Committee Procedures**

6903 Hearing Committee procedures can be found in Chapter V of the Faculty  
6904 Handbook.  
6905

## 6906 **6. Council for Excellence in Teaching and Learning (CETAL) Procedures**

- 6907 *a. Election of Officers.* The Council for Excellence in Teaching and Learning  
6908 (CETAL) will convene for its organizational meeting within twenty-one (21) days  
6909 of its election. The Chair from the preceding year will preside. If there is no  
6910 Chair, the Dean of Curricular and Faculty Development will preside. At this  
6911 meeting, the Council will elect its officers, which will consist of a Chair and a  
6912 Vice Chair.
- 6913 *b. Meetings and Regular Structure.* A regular meeting schedule shall be established  
6914 at the beginning of each semester. Additional meetings may be called by the Chair  
6915 as needed. CETAL will meet regularly with the Dean of Curricular and Faculty  
6916 Development and/or the Provost to discuss policies and procedures related to  
6917 faculty development for excellence in teaching, including faculty development  
6918 programming in teaching and learning and related University grants. The Council  
6919 may recommend to the Dean of Curricular and Faculty Development and the  
6920 Provost the creation, discontinuation, or modification of any program related to  
6921 faculty development in teaching and learning. CETAL will work in partnership

with the Faculty Development Committee and the Dean of Curricular and Faculty Development to publish the [\*Faculty Development Handbook\*](#), which outlines policies, procedures and deadlines related to grant opportunities.

c. *Conduct of Business.* CETAL will identify high-impact teaching methods and best practice in teaching and learning and provide developmental opportunities for all faculty focused on developing excellence in teaching and learning. In consultation with the Faculty Committee on Diversity, CETAL will advocate for and train faculty in inclusive and equitable classroom practices. This includes, but is not limited to offering formal and informal professional development opportunities and making recommendations to the Dean of Curricular and Faculty Development about related policies or practices. CETAL will work in partnership with the Faculty Development Committee to determine a calendar for faculty development programming.

d. *Review of Applications.* According to the schedule published in the Faculty Development Handbook, CETAL will review all applications for University-funded grants related to teaching and learning. Reviews will be based on the merits of the proposals and in accordance with criteria in the Faculty Development Handbook. To leverage the insights and range of expertise of Council membership, CETAL will engage the larger Council in discussion of the merits of each proposal before elected members of the Council vote. Council members who provide written evaluation for a proposal will be excused from deliberation of that proposal. CETAL's deliberations on grant proposals will remain confidential.

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

## **7. Nominating Committee Procedures**

a. *Election of Officers.* The Chair of the outgoing Nominating Committee shall convene a meeting of the newly elected members within twenty-one (21) days after faculty elections to elect a Chair for the following year. The Chair of the outgoing Committee shall serve as temporary Chair of the new Committee until such time as a new Chair has been selected. The outgoing Chair shall have a vote in the selection process only if that person will be continuing on the Committee.

b. *Meetings and Regular Structure.* The Secretary of the Day shall keep minutes of the meetings and file them in the Provost's Office. These minutes will contain only records of final decisions and formal motions made by the Committee.

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

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

- d. *Timeline.*

- January: Review the Faculty Preference Forms; review committee procedures.
  - o Early February: Distribute Faculty Preference Forms in elective committees to faculty, then issue a second call for nominations by email after the deadline for receipt of the Faculty Preference Forms for any committee that has fewer than one and one-half nominees for every open position. The committee shall retain all nominees resulting from these efforts until the slate has reached one and one-half candidates for every open position.
- Mid-February: Draw up slate of candidates for elective office. The committee shall publish the slate and then seek additional nominations for all committees from the floor at the next faculty meeting, regardless of whether the slate has reached the 1:1.5 ratio for every open position.
- March: Present slate of candidates to faculty at regularly scheduled meeting. Take additional nominations from the floor.
- Mid-March: Distribute Faculty Preference Forms for appointive committees.
- April: Conduct annual election. Count ballots and send results to all faculty. Ballots and tally are filed in the Provost's Office where they will remain for one month following the election. The date on which the ballots will be destroyed will appear on the ballot.
- Mid-April: Recommend membership of appointive committees.

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

## **8. Assessment Committee Procedures**

Assessment Committee procedures can be found in Article III, Section 8 of the Faculty Constitution.

## **C. Appointive Committees**

### **1. Admissions Committee**

The Admission Committee reviews applications and makes decisions regarding admissions to the university and annually reviews and approves admission policies. A holistic approach is taken when reviewing the credentials of

candidates. The mandate for this Committee comes from the Faculty Constitution. The Committee is composed of members of the faculty, administration, and student body, and is chaired by the Dean of Admissions. Five faculty members should serve on the Admissions Committee.

## **2. All University Judiciary Committee**

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

## **3. Faculty Secretary**

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

## **4. Health Care Advocacy Committee**

The HCAC has the responsibility for advocating for all IWU employees regarding their health care benefits. The workload varies from year to year. Some years when no changes are needed in the health plans, the Committee meets less frequently with less intensity. However, some years the Committee meets frequently to discuss important issues such as new health care plans and retiree benefits. Three faculty members should serve on the Health Care Advocacy Committee.

This appointive committee asks for long-term commitment (at least three years, often more) for serving given the nature of the information required to advocate for faculty and staff on IWU's self insured policies and practices.

## **5. Institutional Animal Care and Use Committee**

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

7047                   **6. Institutional Review Board**

7048                   The Institutional Review Board (IRB) is responsible for reviewing and monitoring  
7049                   research involving human subjects conducted by faculty, students, and  
7050                   investigators seeking access to students, staff and/or faculty under the auspices of  
7051                   the University. Mandated by federal law, it has the authority to prohibit research  
7052                   that does not meet the standards of ethical research practices. It also has the  
7053                   authority to suspend or terminate approval of research that is not being conducted  
7054                   according to these standards. No fewer than six faculty members should serve on  
7055                   the Institutional Review Board.  
7056

7057                   **7. Parliamentarian**

7058                   The parliamentarian should have knowledge of both the faculty handbook and the  
7059                   accepted handbook of procedure, and be willing to help faculty navigate those  
7060                   documents. During faculty meetings, the parliamentarian advises the presiding  
7061                   officer on matters of procedure. Notably, rulings on procedure come from the  
7062                   presiding officer and not the parliamentarian. One faculty member is expected to  
7063                   serve as parliamentarian.  
7064

7065                   **8. Pre-Engineering Advisory Committee**

7066                   The Engineering Advisory Committee exists to mentor students interested in  
7067                   engineering. Currently, the Committee reviews and revises the advising templates  
7068                   given to First-Year Advisors, nominates students for scholarships at our  
7069                   partnering engineering schools, and mentors students interested in engineering.  
7070                   Pathways to engineering include coordinated dual-degree programs, where  
7071                   students typically study at IWU for three years, taking a basic mathematics,  
7072                   science, and liberal arts sequence, and then spend an additional two years at an  
7073                   engineering school. It is not a transfer program: those students remain IWU  
7074                   degree candidates. At the end of the dual-degree program, students receive a  
7075                   bachelor's degree from IWU and a bachelor's degree in engineering from the  
7076                   cooperating institution. In addition to the dual-degree program, engineering  
7077                   students may choose to stay at IWU for all four years, earning either a B.A. or a  
7078                   B.S. in one of the more technical majors available on campus; those students  
7079                   routinely go on to prestigious graduate schools for a Master's Degree or Ph.D.  
7080                   Chaired by the Institutional Liaison for Dual-Degree Programs. No fewer than  
7081                   four faculty members should serve on the Engineering Advisory Committee.

7082                   **9. Pre-Law Advisory Committee**

7083                   The Pre-Law Advisory Committee helps the Career Center Director advise  
7084                   students about all aspects of how a liberal arts education helps prepare students  
7085                   for law school and legal careers. The Committee makes available material to  
7086                   guide students making course choices while an undergraduate at IWU and to aid  
7087                   them in the law school application and selection processes. No fewer than three  
7088                   faculty members should serve on the Pre-Law Advisory Committee.  
7089

7090                   **10. Pre-Medical/Pre-Dental Advisory Committee**



The Pre-Medical/Pre-Dental Advisory Committee works with undergraduates who are interested in pursuing a professional degree in medicine or dentistry. The Committee advises students regarding a wide variety of issues related to career preparation. The Committee is also responsible for conducting a personal interview and preparing a Committee letter of evaluation for each applicant. Three to five faculty members should serve on the Pre-Medical/ Pre-Dental Advisory Committee.

## **11. Student Engagement Committee**

The Student Engagement Committee (SEC) focuses on experiential learning, co-curricular opportunities, and learner support services for students.

The charge of the SEC is to:

- a) facilitate student connections to high-impact opportunities including academic internships, study abroad, and community based-learning; assist the Undergraduate Research Advisory Committee with outreach related to undergraduate research and post-baccalaureate fellowships.
- b) promote and coordinate events and programs
- c) review engagement data and report on engagement activities once per semester
- d) advise on policies and evaluate programs when needed

The Director of the Center for Engaged Learning convenes this committee. Regular members of the committee include the Associate Provost and chairs/directors or their designees from the International Office, the Hart Career Center, the Writing Program, Titan Athletics, Ames Library, the Office of Student Involvement, the Office of Diversity and Inclusion, the Undergraduate Research Advisory Committee, Student Senate, and the Center for Engaged Learning. Student Affairs or Academic Affairs can appoint additional staff to serve as ex-officio members. The SEC may also invite representatives of non-represented administrative and student-governance groups to meetings as needed. Two faculty members will be appointed by the Nominating Committee and serve one year terms, which align with the academic year.

## **12. Writing Program Committee**

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

## APPENDIX C: IWU INTELLECTUAL PROPERTY POLICY

### A. Introduction

Illinois Wesleyan University (the “University”) is dedicated to teaching and scholarship and the creation and distribution of new ideas, information, inventions, and creative work. Members of the University therefore often create intellectual property. The purpose of this policy is to establish a clear understanding of roles, responsibilities, and actions on the part of faculty, administration, and external parties as well as principles for the fair allocation of ownership of such intellectual property and any revenues derived from the commercialization of said intellectual property in compliance with applicable laws and agreements, and to establish guidelines for the protection and enforcement of the University’s intellectual property rights and those of its individual affiliates, as well as procedures for the resolution of relevant disputes.

This policy applies to all University employees, students, independent contractors, and anyone else using University facilities and resources under the supervision of, or with the permission of University personnel. It is primarily concerned with original works and inventions created by covered individuals acting alone or with collaborators, whether all collaborators are members of the University community or not.

### B. Definitions

Within this intellectual property policy, the following terms are defined as follows:

“University facilities and resources” means funds, workspace, equipment, supplies, library collections, release time, and administrative and technical support owned or provided by Illinois Wesleyan University.

“Covered individual” means any employee, independent contractor, student, or anyone else using University facilities and resources for work or study under the supervision, or with the permission, of Illinois Wesleyan University personnel, including, without limitation, volunteers.

“Employee” means all faculty, staff, and any students who are employed by the University.

“Instructional Materials” are documents in a variety of formats created for the purpose of teaching and learning.

“Invention” means any new process, product, device or substance any improvement thereto. Notwithstanding its status as a literary work under the Copyright Act, computer software may in some instances also be regarded as an invention.

“Net revenues” means all revenues attributable to the exploitation of a work or invention (*i.e.*, gross revenues) less any deductions or overhead expenses agreed in writing between or among the applicable parties.

“Standard and customary resources” are those resources commonly provided or made

available to similarly situated faculty. They include, for example, support such as curricular development and research grants, office space, library facilities, research assistance, ordinary access to University computers and network facilities, research assistants, administrative support staff, and general supplies. In general, for any given department, unit, or individual, what constitutes a standard and customary resource will depend upon the functions and responsibilities of that department, unit, or individual.

“Work of original authorship” means any literary, musical, dramatic, choreographic, artistic, audiovisual, or architectural work that owes its creation to the independent effort of an artist or author.

“Work made for hire” as it relates to copyrightable works of original authorship shall mean either (i) a work prepared by an Illinois Wesleyan University employee within the scope of his or her employment or (ii) a work specially commissioned by Illinois Wesleyan University under the terms of a written agreement.

## C. Copyrights

### 1. Works by Faculty.

Under current U.S. Copyright law, any work completed by an employee may be considered a work for hire for which the copyright belongs to the employer; however, the University, in its commitment to the support of research, artistic creativity, and scholarship, considers work completed by faculty to belong to those faculty under normal support in which the University has no identity or functional interest. If necessary, the University will transfer its rights in writing to clarify ownership to third parties.

The University recognizes and reaffirms the traditional academic expectation that all instructors at IWU, including faculty as defined in the faculty constitution and those in adjunct positions, own and control instructional materials for both in-person and online courses and programs. Protected materials include, but are not limited to: slide decks/slide sets, quizzes, tests, videos, lectures, lecture notes, syllabi, grading rubrics, handouts, activities, exercises, writing prompts, assignment descriptions, learning objects, laboratory manuals/guides, faculty-authored textbooks (unpublished), creative works, and unpublished research results created by their own initiative with the aid of standard and customary University resources as defined above. (Fordham University, adapted with permission)

Further, faculty have endorsed the following statement: “As components of faculty-designed online courses, they cannot be revised, edited, supplemented, or incorporated into courses taught by others without the consent of the original creator. Nor can an online course as a whole be assigned to another instructor without the consent of the faculty member who created the course, unless, once again, the faculty member agreed to treat the course as a work made for hire with such ownership rights residing in the institution.” (AAUP Statement on Intellectual Property, 2013)

Some materials (e.g., syllabi) may be collected for specific purposes, including but

7215 not limited to external review, internal assessment, or pedagogy workshop.  
7216 However, this does not imply permission for others to adapt those materials.

7217 If a course is team-taught, the participating instructors will share copyright equally  
7218 if materials were collaboratively created; otherwise, instructors own their own  
7219 materials.

7220 If an instructor is selected to or elects to participate in consortial learning programs,  
7221 those programs may require separate intellectual property agreements than what is  
7222 outlined in this policy.

7223 If a faculty member cannot complete teaching the class (i.e., due to sickness, leave  
7224 of absence, death, suspension, termination), the University may allow another  
7225 instructor to use the course materials (without requiring further permission of the  
7226 instructor holding the copyright to the course materials) for the limited purpose of  
7227 finishing out the semester.

7228 Instructors should include a statement about copyright ownership of course  
7229 materials in their course syllabi. The statement should state that instructors hold  
7230 copyright in the course materials they create and, as a result, students are not  
7231 allowed to reproduce, distribute, or publicly post their course materials without  
7232 express permission of the instructor. To ensure lectures are protected by copyright,  
7233 instructors should either record them or deliver them from written notes.

7234 A suggested syllabus statement: "My lectures and course materials, including  
7235 presentations, tests, exams, outlines, and similar materials, are protected by  
7236 copyright. I am the exclusive owner of copyright in those materials I create. I  
7237 encourage you to take notes and make copies of course materials for your own  
7238 educational use. However, you may not, nor may you knowingly allow others to  
7239 reproduce or distribute lecture notes and course materials publicly without my  
7240 express written consent. This includes providing materials to commercial course  
7241 material suppliers such as CourseHero, Chegg, and other similar services.  
7242 Students who publicly distribute or display or help others publicly distribute or  
7243 display copies or modified copies of an instructor's course materials may be in  
7244 violation of the "University Policies Concerning Student Conduct & Academic  
7245 Integrity" in the Student Handbook. Similarly, you own copyright in your original  
7246 papers and exam essays. If I am interested in posting your answers or papers on  
7247 the course web site, I will request your written permission."

7248 Instructors may also want to include a copyright notice on the course materials  
7249 themselves to emphasize that they are protected. The form of the notice should  
7250 contain the word copyright or the © symbol, the year the materials were created  
7251 (multiple years may be listed when new material is added in different years), and  
7252 the name of the instructor. The instructor may want to add notations to the notice  
7253 such as "All rights reserved" or "Authorization is given to students enrolled in the  
7254 course to reproduce this material exclusively for their own personal use." Note:  
7255 Copyright protection is not contingent on including a copyright notice on your

7256 course materials. The materials are protected as soon as they are created. However,  
7257 including a notice reminds students of instructor ownership and copyrights and of  
7258 students' obligations to respect those rights. (Syllabi policy courtesy of Office of  
7259 Legal Affairs, University of North Carolina - Charlotte. Used with permission.)  
7260 Nothing in this Intellectual Property Policy shall prohibit a student enrolled in a  
7261 particular course from copying, using or reproducing course materials, in any  
7262 medium, exclusively for their own personal educational use.

7263 Students requiring accommodations (e.g., recording lectures, etc.) must provide  
7264 documentation from the Director of Academic Advising and Student Accessibility  
7265 Services.

7266 In cases wherein the University commissions original work that falls outside of the  
7267 scope of the faculty member's employment, a written memorandum of agreement  
7268 will be made enumerating the distribution of intellectual property resulting from  
7269 that work. The University may require that such an agreement be signed prior to  
7270 commissioning the work.

7271 When a faculty member intentionally collaborates with other covered individuals,  
7272 including students, or someone outside the University community, each author  
7273 owns a fractional interest in the copyright in the entire work. Under normal  
7274 circumstances, this interest would be distributed equally, unless all parties formally  
7275 agree to an alternate apportionment of interest. Each may enter into nonexclusive  
7276 licensing agreements respecting the joint work, provided he or she submits an  
7277 accounting of revenues earned to each coauthor.

7278 When joint authorship with a student or an individual who is not a member of the  
7279 University community is contemplated, this intellectual property policy requires a  
7280 written acknowledgment of the collaboration signed by each participant as a  
7281 condition of the collaboration.

7282 **2. Works by Staff.**

7283 In keeping with the work-made-for-hire doctrine of U.S. copyright law, the  
7284 University is regarded as the author and owner of copyright in all works of original  
7285 authorship created by staff, including administrators with faculty status when acting  
7286 in their administrative (non-teaching) roles.  
7287

7288 **3. Works by Students.**

7289 Students are presumed to own the copyrights in their individual works of original  
7290 authorship except when such works are the product of a student's University  
7291 employment. In that event, the work-made-for-hire rules apply. In all other cases,  
7292 students are subject to the same policies as those assigned to faculty above.  
7293

7294 **4. Works by Independent Contractors and Others.**

7295 When the University commissions original works from independent contractors,  
7296 volunteers, or visitors, the authors are considered the owners of that work unless  
7297 copyright is specifically assigned to the University by written agreement.

7298 **D. Registration of Copyrights**

7299 The University has the right, but is not obliged, to register its copyrights in its own  
7300 name in the U.S. Copyright Office. The author or authors of original works of which  
7301 the University is not the owner may elect to register for applicable copyrights in the  
7302 U.S. Copyright Office or to create their own copyright license through the development  
7303 of a Creative Commons license ([www.creativecommons.org](http://www.creativecommons.org)).

7304 **E. Exceptional Circumstances**

7305 Under certain exceptional circumstances, the University may claim copyright in works  
7306 of original authorship created by faculty and/or students that are not within the work-  
7307 made-for-hire doctrine. These include, but are not limited to:

- 7308 1. Original work funded by third-party grants awarded to, or administered by the  
7309 University on behalf of the grantee. When a third-party funding agreement  
7310 stipulates that the University will be the owner of any resulting intellectual property  
7311 rights, the affected author will execute a written assignment of his or her intellectual  
7312 property rights in the work to the University as a condition for the release of funds  
7313 or other resources. Likewise, the University will honor the intellectual property  
7314 policies of third-party funders for projects so funded, when those policies differ  
7315 from those of the University.
- 7316 2. Occasionally the creation of original work by faculty and/or students requires an  
7317 extraordinary allocation of University facilities and/or resources. This refers to  
7318 institutional support beyond the scope of normal practice. As a condition of  
7319 extraordinary support for a project, the faculty and/or students may be required to  
7320 assign in writing all or a portion of the Intellectual Property of said project to the  
7321 University.
- 7322 3. The University understands that adjunct and visiting faculty may be subject to  
7323 conflicting intellectual property policies that restrict the University's claims of  
7324 ownership in their works of original authorship. Such conflicts will be considered  
7325 on a case-by-case basis by the Provost.

7326 **F. Permitted Uses of Works of Original Authorship by the University**

7327 The University is the owner of all rights, title and interest, including, without limitation,  
7328 copyright, in all works made for hire and may exercise all of the exclusive rights  
7329 granted to such owners by the Copyright Act. In addition, the University is the owner  
7330 of those rights assigned to it and may exercise all such rights without seeking  
7331 permission of the authors. The University may make any use of any works of original  
7332 authorship pursuant to any of the exemptions set forth in the Copyright Act.

7333 **G. Patents**

7334 Whereas copyrights are available for authorship, patents are available for inventions,  
7335 processes, and ideas. Individuals working alone or in collaboration qualify as  
7336 inventors; organizations cannot. Therefore, the principle of a work made-for-hire does  
7337 not exist in patent law.

## H. Inventions

The University encourages its faculty and staff to engage in the types of innovative activity that could lead to inventions and respects the ownership rights that arise from such activity. Therefore, other than in exceptional circumstances (discussed below), the University does not seek to challenge those rights and regards each invention as the property of the covered individual(s) who can be properly regarded as inventors. Each covered individual acknowledges, however, that when an invention has been developed using University facilities and resources, the University typically obtains what is known as a “shop right,” which provides the University with limited, nonexclusive rights to use the invention. The University shall not exercise any shop right, however, before (a) the filing of a patent application by the inventor or his or her attorney or agent, or (b), receipt of written confirmation from the inventor that patent protection will not be sought.

So that patent rights are not inadvertently forfeited, inventors who are members of the University community and their collaborators, if any, must refrain from commercializing and publishing inventions without, first, disclosing the invention in confidentiality to the Provost; and second, obtaining counsel from a patent attorney or agent who is registered with the United States Patent and Trademark Office (the “PTO”). If the invention is owned by one or more covered individuals and not by the University, then the covered individual(s) can decide whether to seek patent protection. The cost of seeking such protection will be borne by each inventor.

Confidential disclosure of all inventions conceived by University employees is required under this policy. The Provost will provide confidential disclosure forms for this purpose.

## I. Exceptional Circumstances

1. If funding agreements stipulate that the University will be the owner of any intellectual property rights relating to inventions conceived and reduced to practice by employees, each inventor shall irrevocably assign his or her rights in the funded invention to the University as a condition for the release of funds or other resources. Likewise, the University will honor the intellectual property policies of third-party funders for projects so funded, when those policies differ from those of the University.

2. As a condition of extraordinary support for a project, the faculty and/or students may be required to assign in writing all or a portion of the Intellectual Property of said project to the University.

3. Upon occasion, when the University has been assigned ownership of the intellectual property in a patentable project, the University may require the inventor to execute additional instruments as the University deems necessary for the filing or prosecution by the University of any and all patent applications directed to the funded invention through to a final action on each such application by the PTO. The University retains sole discretion whether to seek patent protection, and shall be solely responsible for the costs of doing so. In accordance with U.S. patent law,

any issued U.S. patent covering a funded invention shall name the original inventor(s) despite patent ownership by the University.

**J. Distribution of Revenues**

In the absence of any other agreement, Illinois Wesleyan University will share the net revenues it receives from an invention owned by or assigned to the University with the employee(s) who developed the property. The formula is:

| Net Revenue for Entire Invention | Employee(s) | Grants Office Budget | Academic Affairs Budget | President’s Discretionary Budget |
|----------------------------------|-------------|----------------------|-------------------------|----------------------------------|
| First \$20,000                   | 100%        | 0                    | 0                       | 0                                |
| \$20,001-\$75,000                | 50%         | 10%                  | 20%                     | 20%                              |
| Over \$75,000                    | 50%         | 10%                  | 20%                     | 20%                              |

**K. Trademarks and Service Marks**

The University may claim ownership of certain registered or unregistered trademarks and service marks. Such marks are for the exclusive use of the University in connection with goods and services, among others, identified in federal and state registrations and pending federal applications. It is a violation of this policy for any member of the University community to make use of such marks without the express authorization of the Vice President for Communications.

**L. Allegations of Infringement**

In the event that members of the University community or others claim that an original work owned by the University by assignment infringes a third-party’s rights, or that a third party is infringing the University’s rights in a work or invention, any parties with an interest in the matter must notify the Provost so that appropriate action can be initiated.

The University has the right, but is not obliged, to take legal action to protect its intellectual property rights. In the event that the University takes such action, all damages, costs, or other amounts recovered shall be the sole property of the University.

**M. Resolution of Disputes**

The President, or the Provost, if so delegated, has the authority to administer and enforce this policy.

If a dispute arises between a covered individual and the University, between two or more covered individuals or between a covered individual and a collaborator who is not a member of the University community, such dispute will be referred to the Provost.



7410        *This Policy borrows extensively from the Intellectual Property Policy of Meredith*  
7411        *University.*  
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## APPENDIX D: CURRENT FACULTY AND UNIVERSITY-WIDE BENEFITS

This Appendix contains a brief overview of the benefits currently available to eligible faculty. Please refer to the summary plan descriptions and other governing plan documents for details. Benefits applicable to faculty service are posted and described at [<https://www.iwu.edu/human-resources/current-employees.html>].

Over the years the University has made numerous changes in the benefits offered to faculty, and continues to reserve the right to change or terminate existing benefit programs, and to add new benefit programs, at any time. Except as provided by the terms of a specific plan, benefits do not become vested after a certain period of time, the attainment of a particular age, or the happening of a specific event. Therefore, the terms of a plan or benefits policy may be changed or terminated at any time for all individuals participating in that plan or any subgroup thereof. In addition, the law may change regarding specific benefits, including leaves, available to employees. The University reserves the right to change benefits policies or plans to comply with applicable law or meet the needs of the University.

### A. Childbearing and Childrearing Policy and Faculty Leaves

It is the policy of the University that a full-time faculty member with one year of University service may choose one of the following options for childbearing and/or childrearing:

#### 1. Childbearing leave for female faculty

Six to eight weeks childbearing leave using short term disability (thirty days full pay followed by two to four weeks at 70% pay) when a full-time teaching load is maintained for the academic year. Disability length is determined by medical necessity.

#### 2. Combined childbearing/childrearing leave for female faculty

##### a. *Combined childbearing/childrearing leave for nine- or ten-month faculty.*

- A combined childbearing/childrearing leave of one semester and a three-course teaching load for the remainder of the academic year at two-thirds annual salary,
- A combined childbearing/childrearing leave of one semester and a four-course teaching load for the remainder of the academic year at five-sixths annual salary. Note that a faculty member may teach at most three courses in a semester. Hence, this option would require three courses in fall or spring semester plus one course in Summer Term. When both parents are faculty members, they are entitled to a combined total of either three course releases and a one-sixth reduction in each parent's salary or two course releases and a one-twelfth reduction in each parent's salary,

7454                               • A third option is for the faculty member to take a single course release  
7455                               at full pay. As an alternative teaching a 2-3 load, this can instead be  
7456                               arranged as four courses in one semester and a Summer Term with a  
7457                               semester of no teaching (at full pay).

7458                               ***b. Combined childbearing/childrearing leave for twelve-month faculty.***

7459                               A combined childbearing/childrearing leave of one semester or four  
7460                               months during the summer (May, June, July, and August). Pay for the year  
7461                               will be at five-sixths annual salary.

7462                               **3. Childrearing leave for all faculty**

7463                               Faculty members who are parents of children newly placed for adoption or male  
7464                               faculty members with newborns may request a paid childrearing leave of absence  
7465                               for childrearing purposes. The terms of the childrearing leave are the same as  
7466                               those described above for the combined childbearing/childrearing leave.

7467  
7468                               Health care benefits, life insurance, short term disability, and long-term disability  
7469                               insurance will be continued during the childbearing, combined  
7470                               childbearing/childrearing, or childrearing leave at University expense. The faculty  
7471                               member will continue to be responsible for their own premium share of the health  
7472                               insurance. TIAA-CREF payments will be continued based on the amount of salary  
7473                               paid to the faculty member as specified in the summary plan description.

7474                               Multiple births/adoptions count as one event.

7475                               Faculty members taking semester length (or longer) leaves of absence normally do  
7476                               not receive credit in determining eligibility for tenure, promotion, and sabbaticals. A  
7477                               nine-month faculty member who gives birth after the end of classes in May and  
7478                               whose disability ends prior to the start of classes in late August is not eligible for a  
7479                               childbearing leave. In this case, with reasonable notice, she may choose to apply for a  
7480                               childrearing leave. Any male faculty member whose child arrives after the end of  
7481                               classes in May and prior to the start of classes in late August, with reasonable notice,  
7482                               may also apply for a childrearing leave.

7483                               Faculty also has the option to request a leave under the Family and Medical Leave  
7484                               Act (FMLA). Eligibility requirements and other guidelines can be found in Chapter  
7485                               VII.B “Faculty Benefits” of the Faculty Handbook. FMLA does not affect any  
7486                               Federal or State law prohibiting discrimination, or supersede any State or local law or  
7487                               collective bargaining agreement which provides greater family or medical leave  
7488                               rights. Any faculty member anticipating the need for a family or medical leave should  
7489                               consult with the Provost.

7490                               The faculty member should discuss the delivery date of the baby or arrival date of the  
7491                               adopted child and the timing of the leave of absence with the Provost to determine the  
7492                               option that works best. The Provost will consider special circumstances.

7493                               Requests for childbearing leaves, combined childbearing/childrearing leaves, or  
7494                               childrearing leaves of absence should be made directly to the Provost, who will  
7495                               consult with the Department Chair or School Director and the President before acting  
7496                               on the request.

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## **B. University-Wide Benefits that Include Faculty**

In addition to the faculty-specific child-bearing and child-rearing benefit outlined above, the Employee Handbook has policies affecting faculty as well as exempt and non-exempt staff, and these policies are listed below. Policy specifics for these items can be found on the IWU website (<https://www.iwu.edu/human-resources/current-employees.html>).

1. Credit Union
2. Dental Insurance
3. Employee Assistance Program
4. Flex Account
5. Health Insurance
6. Health Savings Account
7. Life and Disability Insurance
8. Retiree Health
9. Retirement
10. Travel
11. Vision Insurance
12. Wellness Program

## **APPENDIX E: POLICY STATEMENTS ON RESEARCH AND HUMANE TREATMENT OF ANIMALS**

This section sets forth University IRB and animal treatment policies that are subject to update and revision in the discretion of the University to comply with changes to regulations or best practices and in the best interests of the students and the campus community.

### **A. INSTITUTIONAL REVIEW BOARD: AUTHORITY, COMPOSITION, LEVELS, AND REVIEW PROCEDURES**

#### **1. Authority of the IRB**

The IRB is responsible for reviewing and monitoring research involving human subjects conducted by faculty, students, and investigators seeking access to students, staff and/or faculty under the auspices of the University. It has the authority to prohibit research that does not meet the standards of ethical research practices. It also has the authority to suspend or terminate approval of research that is not being conducted according to these standards.

All research which involves human subjects must be reviewed by the IRB. Approval is necessary prior to initiation of the project. Continuing research projects are subject to annual review. The IRB may monitor research at intervals appropriate to the degree of risk to study subjects.

The IRB has the authority to take one of four actions. Research may be approved, approved conditionally, disapproved, or be granted exempt status. In order for research to be approved it must meet the standards of ethical research practices.

The IRB shall notify investigators in writing of actions taken regarding proposed research and maintain full records regarding its activities available to the Office of the Associate Provost. If approval is conditional, the investigators must respond to the conditions set forth by the IRB prior to conducting the study. If the IRB disapproves a research project, it must include reasons for its decision in its written notification. Investigators may address these reasons and resubmit the proposed research project for further consideration.

The IRB may request information on any aspect of a proposed study. As part of the review process, the IRB may request supplementary information, demonstration of the procedures to be used and/or regular progress reports. The IRB has the authority to observe or to have a third party observe any aspect of the research project, including methods used to obtain consent from study subjects. It may also seek the advice of consultants. Any unforeseen complications or adverse reactions to approved research must be immediately reported to the IRB.

#### **2. Composition of the IRB**

The Institutional Review Board shall consist of at least six members. The Associate Provost will recommend appointees to the Nominating Committee and

appointments will be approved by the President. Members of the IRB will include individuals who have expertise in diverse aspects of human subject research.

They shall be able to ascertain the acceptability of proposed research in terms of institutional commitments and regulations, applicable laws, and standards of professional conduct and practice. In particular, the following requirements shall be met: 1) The IRB may not consist entirely of members from one academic discipline or profession. It must include both men and women. 2) At least one member of the IRB shall be a person whose primary expertise or concerns are in a scientific area and one in a nonscientific area. 3) At least one member of the IRB shall be a person who is not affiliated with the institution or who is not part of the immediate family of a person who is affiliated with the institution. 4) The IRB may invite individuals with special competence in a research area to aid in the review process. 5) Members of the IRB are prohibited from participating in the review of research proposals if there is any conflict of interest.

### 3. Levels of IRB Review

There are three levels of review: Exempt, Expedited, and Full. Note: *Research* means a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. Activities which meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### a. *Categories of Research Qualifying for Exempt Status*

Exemption from the requirement for IRB approval is granted when it is determined that the project does not constitute research as defined by Federal Policy for the Protection of Human Subjects and the IWU Institutional Review Board or if the research meets one of six specific exemption categories.

Note that the IWU IRB has made the following interpretations of its charge:

The ultimate decision of whether an activity is or is not research rests with the IRB. Any activities that might conceivably be construed as research require IRB approval as “exempt”. This process is designed to be as streamlined as possible: to request exempt status, applicants should submit an “IRB Exempt Application Form.”

IWU considers that both qualitative and quantitative methodologies may constitute research. Thus, attempts to obtain information using such methodologies as focus groups, interviews, participant observation, etc. require approval.

Research-like activities that are conducted solely by members of a class are typically not defined as research, although instructors need to ensure that these

activities do not violate the rights of participants. Activities in which class members collect data from members of the larger IWU community or from persons in the community constitute research and are subject to the review of the IRB.

**Research that meets one of the following six specific categories can fall under the exempt category.**

Most educational research, test design research, anonymous surveys and interviews, observations of public behavior, and many kinds of program evaluation will qualify for exempt status. Research activities in which the only involvement of human subjects will be in one or more of the following categories may be considered to present minimal or no risk to research subjects and may qualify for exempt status. The categories are:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (b)(2) of this section, if: (i) the human subjects are elected or appointed public officials or candidates for public office; or (ii) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (i) Public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv)

possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

*b. Categories of Research Qualifying for Expedited Review*

The IRB may use an Expedited Review Process to review research that involves only minimal risk to subjects or consists of minor changes to previously approved research during the period (one year or less) for which approval is authorized. Minimal risk is defined as activities in which the probability and magnitude of harm or discomfort anticipated in the research is no greater than that ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

*c. Full Review*

Research that does not qualify for Exempt or Expedited Review will fall under the category of Full Review.

**4. Review Procedures**

The IRB shall meet at least bimonthly during the academic year and may meet as often as necessary. At least one member whose primary concerns are in a scientific area and one member whose primary concerns are in a nonscientific area must be present. Individuals invited to contribute to the review process do not have a vote. Proposed research must be approved by a majority of those members present. Disapproval may not be overruled by any other University group or official.

Reviews of exempt protocols and reviews of extensions and/or minor changes to previously approved studies may be carried out by the IRB chair or by one or more experienced reviewers designated by the IRB chair from among members of the IRB. Expedited proposals will be reviewed by two IRB members. In reviewing the research, the reviewers may exercise all the authority of the IRB except that the reviewers may not disapprove of the proposed study. All members of the IRB will be advised of research proposals which have been approved under either of these review procedures.

The IRB shall make a report of its proceedings to the Office of the Associate Provost which will also serve to maintain these records as appropriate.

**B. POLICIES REGARDING USE OF HUMAN SUBJECTS IN RESEARCH  
AT ILLINOIS WESLEYAN UNIVERSITY**



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## 1. Overview

7698 While Illinois Wesleyan University recognizes the need for and value of research  
7699 involving human subjects, it also recognizes its responsibility for ensuring that the  
7700 privacy, safety, health, and welfare of human study subjects are adequately  
7701 protected. All research involving human subjects conducted under the auspices of  
7702 Illinois Wesleyan University is expected to meet general standards of ethical  
7703 research practices established by Federal Regulations (FR Doc 91-14257) and the  
7704 standards of specific professional organizations (i.e., the American Psychological  
7705 Association, American Nurses Association, American Sociological Association  
7706 and the World Health Organization.)

7707 An Institutional Review Board (IRB) has been appointed to ensure that the basic  
7708 rights and welfare of human subjects are safeguarded, that methods used to obtain  
7709 consent from research subjects are appropriate, and that any risks to study  
7710 subjects are acceptable and are always minimized. Risks exist when subjects may  
7711 be exposed to possible physical, psychological or other harm.

7712 All research involving human subjects conducted under the auspices of Illinois  
7713 Wesleyan University must be reviewed by the IRB. Approval is necessary prior to  
7714 the initiation of any such project. Continuing research projects must be renewed  
7715 annually.

7716 Information for investigators regarding research guidelines, criteria of approval  
7717 and appropriate procedures for review of proposed research is described in  
7718 Information for Investigators Using Human Subjects. Faculty supervising student  
7719 research as part of course work are directed to the section identified as Student  
7720 Research, which will be found under Information for Investigators Using Human  
7721 Subjects, Information describing the functioning of the IRB is described in  
7722 Institutional Review Board Authority, Composition and review Procedures.

## 2. Information For Investigators Using Human Subjects

7723  
7724 All research involving human subjects conducted under the auspices of Illinois  
7725 Wesleyan University must be reviewed by the IRB. This includes research  
7726 projects initiated by students, faculty or staff at IWU. It also includes projects  
7727 conducted by investigators not affiliated with the institution which use Wesleyan  
7728 students, faculty or staff in virtue of their affiliation with the University. The IRB  
7729 is also responsible for reviewing research involving human subjects that is  
7730 conducted by IWU faculty, staff, or students at other locations. IWU IRB review  
7731 is required even if an IRB review is completed at these other sites. Approval from  
7732 the IRB is necessary prior to initiation of any research. Continuing research  
7733 projects are subject to review on an annual basis. The IRB will monitor research  
7734 projects at intervals appropriate to the degree of risk to study subjects.

7735 The IRB has the authority to take one of four actions in regard to research  
7736 involving human subjects. The research may be deemed exempt, approved,  
7737 approved conditionally, or disapproved. During review, the IRB may also request  
7738 additional information regarding the proposed research. When conditional  
7739 approval is granted, the specified conditions must be met and approved by the

7740 IRB before the investigator initiates the project. If the IRB disapproves a research  
7741 project, it must include in its written notification the reasons for its decision.  
7742 Investigators may address these reasons and resubmit the proposed research  
7743 project for further consideration.

7744 *a. Standards of Ethical Research Practice*

7745 In order for research to be approved or to be exempted, it must meet the  
7746 following standards of ethical research practice:

7747 (1) The rights of the subject must always take precedence over the interests of  
7748 society, the interests of the investigators or the value of the research. Research  
7749 which violates the rights of study subjects will be prohibited. These rights  
7750 include the following:

7751 a. Subjects have the right to informed and voluntary consent or dissent.  
7752 Informed consent must be appropriately documented. (Standards for Informed  
7753 Consent are discussed in the following section.)

7754 i. Information provided to gain subject consent must be adequate and  
7755 relevant. All information which would reasonably be needed in order to  
7756 make an informed decision must be provided in a manner that is  
7757 understandable to the subject before consent is obtained. This includes  
7758 being informed about any foreseeable risks.

7759 ii. Participation of a human subject in any research project must be  
7760 voluntary. Study subjects have the right to decide whether or not to  
7761 participate in the research without coercion, undue influence, or duress.  
7762 When some or all of the subjects are likely to be vulnerable to coercion or  
7763 undue influence (i.e., students, children, pregnant women, mentally  
7764 disabled persons, or economically or educationally disadvantaged  
7765 persons), additional safeguards must be included in the study to protect the  
7766 rights and welfare of these subjects.

7767 iii. Study subjects have the right to decide not to participate in research or  
7768 to withdraw from participation at any time without adversely affecting the  
7769 relationship between the subject, the investigators, and the University. In  
7770 those cases where participation in a research project is intended to provide  
7771 an educational experience, potential participants must be informed that  
7772 they are not obliged to participate and that appropriate alternatives to  
7773 participation will be provided.

7774 b. Subjects have the right to privacy and confidentiality. Appropriate  
7775 safeguards must be provided to protect the privacy of subjects and to maintain  
7776 the confidentiality of data gathered.

7777 c. Subjects have the right to ask questions about the research at any time  
7778 before, during and after participation in the research. These questions must be  
7779 answered in an adequate and satisfactory manner.

7780 d. Subjects have the right to be treated with dignity and respect at all times.

- 7781 (2) Research involving human subjects must be preceded by careful  
7782 assessment of predictable risks to the subjects or others. Standard and  
7783 scientifically recognized methods for assessing risks must be employed. Risk  
7784 exists when subjects may be exposed to any possible physical, psychological,  
7785 or other harm. Risks may result from procedures which cause discomfort or  
7786 anxiety to study subjects or invade their privacy or pose threats to their  
7787 dignity. Risks to human subjects must always be minimized (a) by using  
7788 procedures consistent with sound research design and (b) whenever  
7789 appropriate, by using accepted procedures already performed on subjects for  
7790 diagnostic, treatment or other purposes.
- 7791 (3) Research projects involving human subjects must be conducted or  
7792 supervised by qualified persons.
- 7793 (4) Selection of study subjects must be equitable.
- 7794 *b. Informed Consent*
- 7795 Informed consent must be obtained in most studies that involve human  
7796 subjects. Investigators should consult the Federal Policy for the Protection of  
7797 Human Subjects, which is available in the Office of the Associate Provost, for  
7798 the specific rules involving informed consent and the circumstances under  
7799 which specific rules apply. Any explanation, whether in written or oral format,  
7800 must be given in the language of the subject by a person competent in the area  
7801 of the proposed research.
- 7802 For each study, the principal investigator must submit a specific informed  
7803 consent form. If only verbal consent will be obtained, a script of the oral  
7804 explanation of the study must be submitted, along with a justification for not  
7805 using a written form.
- 7806 In most cases, consent forms should be written in the first person, and must  
7807 include the following:
- 7808 (1) A title, descriptive of the study, in simple terms.  
7809 (2) The date of preparation or revision.  
7810 (3) A statement that the project is research, an explanation of the purpose of  
7811 the study, and the procedures to be followed.  
7812 (4) Statement of the reason for the subject's selection, and the expected  
7813 duration of the subject's participation.  
7814 (5) A description of the potential benefits to the subject or others which may  
7815 reasonably be expected.  
7816 (6) A description of the reasonably foreseeable immediate and long-term  
7817 discomforts, hazards, and risks and their potential consequences.  
7818 (7) A statement that the investigator is available to answer any inquiries  
7819 concerning the study, and information on who the principal investigator is and  
7820 how to reach him/her.  
7821 (8) Information regarding persons to contact in the event that any injuries or  
7822 adverse consequences emerge from the research.  
7823 (9) A statement that the research is voluntary and that refusal to participate

7824 will involve no penalty or loss of benefits to which the subject is otherwise  
7825 entitled. Information regarding persons to contact in the event that any injuries  
7826 or adverse consequences emerge from the research.

7827 (10) A statement that the subject may refuse to participate or withdraw from  
7828 the study at any time without any negative consequences.

7829 (11) A statement that no information that identifies the subject will be released  
7830 without separate consent except as specifically required by law. A statement  
7831 outlining the extent to which records will be confidential.

7832 (12) A statement that if the use of the data is to be changed, the subject's  
7833 consent will be re-obtained.

7834 (13) The name and telephone number of an IRB member to be contacted if  
7835 participants have concerns about the ethical conduct of the study.

7836 (14) A signature and date line.

7837 Special Circumstances Involving Informed Consent: Include in the consent  
7838 form any of the following information that may be applicable:

7839 (1) If recordings are to be made, state this, and inform the subjects about the  
7840 use of the recordings and what will happen to the recordings after the study.  
7841 Note that we will likely have separate informed consent protocols for filming  
7842 and recording.

7843 (2) If the subject is a legal minor, a parent or guardian must sign the informed  
7844 consent form. Suitably mature children should be provided with the  
7845 opportunity to assent to participate in research. Depending upon the  
7846 competency of the child, this may be administered either verbally or in written  
7847 form. If the subject cannot sign, through disability or illiteracy, but is  
7848 otherwise capable of being informed and giving verbal consent, a third party  
7849 (not connected with the study), next of kin, or guardian shall witness the  
7850 process, sign for the subject, and state the reason. When appropriate, detail the  
7851 consequences of a subject's decision to withdraw from the research.

7852 *c. Initiating the Review Process*

7853 Investigators are required to submit Research Proposal Information (available  
7854 in the Associate Provost's Office and on-line at <http://www.iwu.edu/irb/>).  
7855 Some research which represents minimal risk to study subjects may qualify  
7856 for exempt status. Note that exempt status is an outcome of the IRB review  
7857 process. The investigator must review the information listed under Categories  
7858 of Research Qualifying for Exempt Status to determine whether the proposed  
7859 research may be placed in this category. Research presenting minimal risk to  
7860 subjects may be submitted under the category of "Expedited Review."

7861 To initiate the review process, investigators should submit one hard copy of  
7862 all documents to the Office of the Associate Provost and one electronic copy  
7863 to [irb@iwu.edu](mailto:irb@iwu.edu). The schedule of IRB meetings will be available in the office  
7864 of the Associate Provost and on-line at <http://www.iwu.edu/irb/>. Investigators  
7865 should have materials requiring full review available at least two weeks prior  
7866 to the next meeting date. Applications requesting expedited and exempt  
7867 review can be submitted at any time. The IRB has the final authority to decide

7868 whether the research is appropriately considered under a review category  
7869 other than the one selected by the applicant. To ensure the fastest turn-around  
7870 time under that scenario, investigators seeking expedited review may wish to  
7871 submit their materials two weeks prior to the next IRB meeting as well.  
7872 Investigators who wish to make any changes to a previously approved study  
7873 must submit these proposed changes in writing through the Office of the  
7874 Associate Provost to the IRB. The reviewing committee may request  
7875 additional information if necessary.

7876 *d. Student Research*

7877 To ensure that all student research complies with mandated requirements for  
7878 the protection of human subjects, all research conducted by students that  
7879 involve human subjects require IRB approval. The only exception is if  
7880 students enrolled in the same class collect data from each other and results are  
7881 presented only to members of that class.

7882 Students may not submit protocols to the IRB; protocols can be submitted  
7883 only by faculty or staff. While instructors might wish to provide students with  
7884 the experience of writing IRB applications, instructors will need to review and  
7885 modify these proposals prior to submission to the IRB to ensure that they fully  
7886 address the requirements for human subjects research and that these are  
7887 complete and well written. Instructors attest that student research meets the  
7888 requirements of human subjects research and that they will oversee the  
7889 students' efforts to ensure that they follow the protocol and respect the rights  
7890 of research participants. Requiring faculty members to review and submit  
7891 student research protocols will help IRB to perform its job more efficiently.

7892 Most student projects can be grouped under one of the following categories.

7893 (1) Group Protocol for a Class Project

7894 In many instances, students work collectively on one research study.

7895 For example, students might construct surveys that they administer to students  
7896 on campus, conduct ethnographic interviews with others on or off campus,  
7897 conduct political opinion polls, or interview persons in various professions. It  
7898 is possible for the instructor to submit a single protocol that provides a  
7899 description of the parameters of the research activities provided that these  
7900 research projects are low-risk, involve students in very similar research  
7901 activities, and impact a similar sample of participants. The instructor is then  
7902 responsible for monitoring the student research activities to ensure that all  
7903 activities fall within the parameters of the approved group proposal and that  
7904 the rights of the participants are respected. Note that if only slight variations in  
7905 the research exist across different courses or across multiple courses, it is  
7906 preferable for instructors to submit a single protocol that covers the range of  
7907 activities across all of these courses.

7908 (2) Umbrella Protocol Covering Multiple Student Projects

7909 In some classes, instructors might have students design and complete

7910 individual projects that share common features. In this case, it is  
7911 recommended that instructors prepare an umbrella proposal that addresses  
7912 either the entire class or a subset of these projects. The instructor might  
7913 prepare a general description of the project and one or more informed consent  
7914 templates. Then, students could attach descriptions of each of their individual  
7915 projects detailing their sample, specific assessment methods, and possible  
7916 risks and benefits. The IRB will review this umbrella proposal and provide  
7917 feedback to the instructor regarding any projects that are problematic. Under  
7918 such circumstances, it will be the instructor's responsibility to work with  
7919 individual students to clarify or modify their individual projects. Instructors  
7920 will then be responsible for supervising the activities of the students to ensure  
7921 that they conduct their research within the parameters of the approved  
7922 umbrella protocol and that the rights of the participants are respected.

7923 (3) Individual student projects

7924 In some cases, students complete individual projects that require a separate  
7925 protocol to the IRB. This is specifically pertinent for thesis and independent  
7926 study projects. In this case, instructors will need to submit an individual  
7927 protocol to the IRB.

7928 *e. Responsibilities of Investigators to the IRB*

7929 Investigators must conduct the research within the parameters of their  
7930 approved protocol.

7931 1) Investigators may deviate from the approved project protocol only for the  
7932 safety of the participant. The IRB must be notified as soon as possible and in  
7933 writing of any deviation from the approved project protocol.

7934 2) Investigators must notify the chairperson of the IRB as soon as possible and  
7935 in writing of any adverse occurrence.

7936 3) Investigators must supply an annual progress report to the IRB for projects  
7937 extending beyond one year. However, the IRB may request additional  
7938 progress reports and these must be supplied in a timely manner.

7939 4) Investigators must submit a final overview of their research upon  
7940 completion or termination of their projects. Projects which qualify for exempt  
7941 status are not required to submit a final overview report.

7942 5) In order to have an accurate list of ongoing human subjects research, the  
7943 IRB will review the status of approved projects annually and request  
7944 information from investigators if the status is unknown.

7945 **C. POLICY FOR THE HUMANE CARE AND USE OF LABORATORY**  
7946 **ANIMALS**

7947 The following document establishes procedures for the humane care and use of  
7948 animals at Illinois Wesleyan University. The document is applicable to all  
7949 research, research training, experimentation, and biological testing and related

activities involving live, vertebrate animals conducted at this institution.

This document contains the following information:

**Section 1: The Institutional Animal Care and Use Committee**

A formal outline of the procedures followed by the Institutional Animal Care and Use Committee (IACUC).

**Section 2: Program of Direct Animal Care**

Standard operating procedures for direct animal care, including the duties and qualifications of animal colony personnel.

**Section 3: Training of Personnel**

A description of training available to personnel, as well as methods by which proper training is assured.

**Section 4: Program of Veterinary Care**

A description of the contract established between Illinois Wesleyan University and consulting veterinarians.

**Section 5: Occupational Health**

A description of the occupational health program for those working with animals. This document has been reviewed and approved by the Institutional Animal Care and Use Committee.

**1. The Institutional Animal Care and Use Committee (IACUC)**

*a. Charge*

The institution will maintain an Institutional Animal Care and Use Committee (IACUC) in accordance with USDA and PHS guidelines, as well as other applicable laws. The committee is responsible for overseeing and regulating all use of live vertebrate animals at Illinois Wesleyan University.

*b. Membership and Electing Chair*

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

*c. Electing Vice-Chair*

The Committee will elect a Vice Chair during the first meeting of each academic year. The Vice Chair will have a term of one year.

*d. Meetings*

The IACUC will meet at least three times each year. These meetings will

7995 normally occur in September, January, and April. However, special circumstances  
7996 may require additional meetings, in which case the regular meetings may be  
7997 scheduled at alternate times. Under no circumstances will the IACUC meet less  
7998 than 3 times per year, and under no circumstances will there be more than six  
7999 months between meetings.

8000 i. Review the Program for the Humane Care and Use of Animals (the present  
8001 document), using the procedures outlined in the National Research Council  
8002 document Guide for the Care and Use of Laboratory Animals. The  
8003 committee will draft a report of that review, and forward that report to the  
8004 Associate Provost under the signatures of a majority of IACUC members.  
8005 The report will be forwarded to the Associate Provost no more than two  
8006 weeks after the meeting.

8007 ii. The report will contain:

8008 1. A statement that the procedures contained in the present document have  
8009 been reviewed. If any changes are recommended, the report will describe  
8010 those changes.

8011 2. A statement of the nature and extent of adherence to the Animal  
8012 Welfare Act, Standards, and Regulations, USDA policy, and PHS policy.  
8013 If there has been a failure to adhere to policy since the previous report, the  
8014 report will describe the measures being taken to correct the deficiency.

8015 3. A statement of any minority views. If no minority views were  
8016 expressed, the report will so-state.

8017 iii. Conduct an inspection of all animal facilities.

8018 The committee will draft a report of the inspection and forward that report to  
8019 the Associate Provost under the signatures of a majority of IACUC  
8020 members. The report will be forwarded to the Associate Provost no more  
8021 than two weeks after the meeting takes place. The report will contain:

8022 1. A description of any deficiencies found during the inspection. The  
8023 report will distinguish between significant deficiencies and minor  
8024 deficiencies. Any significant deficiencies will be described in detail.

8025 2. If any deficiencies are noted, a plan for corrective action will be  
8026 described, including dates by which these corrections are to be  
8027 accomplished.

8028 3. A statement of any minority views. If no minority views were  
8029 expressed, the report will so-state.

8030 iv. Review and approve, or withhold approval for all new animal use  
8031 protocols. The procedures for protocol review are described below.

8032 v. Review, at least once annually, all active animal use protocols.

8033 If necessary, the IACUC will meet more often than described above. Such  
8034 additional meetings will typically involve review of animal use protocols, but  
8035 will not include an inspection of facilities or a review of the program.

8036  
8037 Minutes of all IACUC meetings will be forwarded to the Associate Provost  
8038 within two weeks of the meeting date. Minutes will also be distributed to all  
8039 IACUC members at that time. Minutes will be approved by the Committee at  
8040 the next IACUC meeting.

8041 e. *Review of Animal Use Protocols*

8042 Every person planning to use live, vertebrate animals in teaching or research



8043 at Illinois Wesleyan University must submit an animal use protocol prior to  
8044 beginning such activities. The animal use protocol must be submitted using  
8045 the Information for Review of Activities.

8046 Involving Animals Form (Appendix A). The form must be submitted to the  
8047 IACUC chair at least 2 weeks before the investigator plans to begin the  
8048 activities outlined in the protocol.

8049 Upon receiving a completed protocol form, the IACUC Chair will review the  
8050 submission to ensure that it is complete. If the investigator has not correctly  
8051 and completely filled out the protocol form, the IACUC Chair will return the  
8052 form to the investigator with instruction to complete the form properly.

8053 If the protocol form has been correctly and completely filled out, the IACUC  
8054 Chair will schedule the protocol for Committee review. The process used by  
8055 the IACUC to review protocols is as follows:

8056 **Full Committee Review:** Protocols will normally be reviewed at a full  
8057 Committee meeting. Following discussion of a protocol, the Committee will  
8058 make one of two recommendations:

8059 Approval: Approval signifies that the investigator may begin the project as  
8060 soon as the start date on the proposal. The IACUC Chair will provide written  
8061 notification to the principal investigator, informing him or her of approval.

8062 Non-Approval: The protocol is returned to the investigator with  
8063 instructions to modify and resubmit for future review. The IACUC Chair will  
8064 describe, in writing, the reason the protocol was not approved, and the  
8065 changes necessary to secure approval. The investigator may not begin the  
8066 project until the protocol has been resubmitted and approved.

8067 Recommendations will be made on the basis of a simple majority vote of  
8068 those members present at the committee meeting. This vote will be valid only  
8069 if a quorum is present at the meeting. A quorum will exist if at least half of the  
8070 committee members are in attendance. If any Committee member has a  
8071 personal interest in the protocol (typically because that Committee member is  
8072 an investigator on the protocol) then that member will leave the room during  
8073 discussions of the protocol, and may not vote on that protocol.

8074 Any minority viewpoints will be described in the meeting minutes. If there are  
8075 no minority viewpoints, the minutes will so-state.

8076 **Decision by Designated Reviewer:** If a protocol received for review requires  
8077 immediate action before the next full Committee meeting, the investigator  
8078 may request (or the IACUC Chair may choose) a “designated reviewer” for  
8079 the proposal. When a designated reviewer is used, the IACUC Chair (or Chair  
8080 designee) will distribute copies of the protocol to all members of the  
8081 Committee, with a request that comments and recommendations be received  
8082 within 1 week.

8083 Comments will be returned to the IACUC Chair or Chair designee. In cases in

8084 which the IACUC Chair has a personal interest in the protocol, the Vice Chair  
8085 will conduct these duties.

8086 After comments are received, the IACUC Chair, Vice Chair, or designee will  
8087 read the comments of Committee members and make a decision to approve or  
8088 not approve the protocol.

8089 Note that this is not a Committee decision, and does not constitute a “vote by  
8090 mail.” The decision to approve or not approve comes directly from the  
8091 designated reviewer, and not from the Committee.

8092 At any time during the “decision by designated reviewer” process a committee  
8093 member may request that the protocol be discussed in a full committee  
8094 meeting. In such cases, the chair of the IACUC (or Vice Chair) will inform the  
8095 investigator that a full review is required, and when such a review is expected  
8096 to take place.

8097 A decision by a designated reviewer is not considered to be the standard  
8098 method of approval. Any investigator requesting such a review must provide  
8099 written justification for using the procedure. Poor planning is not considered  
8100 sufficient justification.

8101 Communication: The IACUC Chair, Vice Chair, or designee will  
8102 communicate the Committee decision, in writing, to the principal investigator,  
8103 including (in the case of non-approval) any changes required to secure  
8104 approval. The results of all designated reviews will be read into the minutes of  
8105 the next full IACUC meeting.

8106 **Non-Compliance:**

8107 If, at any time, the IACUC becomes aware that an investigator is not  
8108 complying with the procedures outlined in an approved protocol:

8109 i. The IACUC Chair will notify the investigator of the non-compliance, and  
8110 instruct the investigator to cease all activities described in the protocol until  
8111 compliance is accomplished. The investigator must demonstrate compliance  
8112 to the satisfaction of the IACUC and must secure written notification from the  
8113 IACUC Chair before resuming activities.

8114 ii. All instances of non-compliance will be included in the report to the  
8115 Associate Provost.

8116 iii. The IACUC has the authority to suspend activities on a protocol when  
8117 violations of that specific protocol are found. The IACUC does not have the  
8118 authority to suspend activities on other protocols supervised by the same  
8119 investigator.

8120 iv. If an investigator is repeatedly found to be in non-compliance, or if the  
8121 violations are particularly serious, the IACUC will conduct a detailed  
8122 investigation. This investigation will include a meeting during which the

investigator will answer questions for the committee. Following the meeting, the IACUC will forward a summary report to the Associate Provost. This report may include recommendations for penalties in addition to those which the IACUC is authorized to enact. Such recommended penalties may include, but are not limited to a) suspension of work on other protocols, b) restrictions on future research activities, and c) revocation (temporary or permanent) of all animal use privileges in both teaching and research. The final decision in such cases will lie with the Associate Provost.

## 2. Program of Direct Animal Care

The University will maintain a program of animal care in all facilities in which live, vertebrate animals are housed. Details of the program are described below:

**Administration:** Immediate responsibility for the care and treatment of animals is given to the Animal Care Technician. Qualifications and duties for this position are described below. Administrative oversight of financial issues will be the responsibility of the Chair of Psychology Department. Administrative oversight for animal husbandry will be the responsibility of the IACUC Chair.

**Qualifications of the Animal Care Technician:** The Animal Care Technician must possess at least an Associates degree in Animal Science or related field. If the position of Animal Care Technician is vacant, a new technician will be hired on the recommendation of a committee appointed for this purpose by the Associate Provost. At least two IACUC members (including the IACUC Chair), as well as the Chair of the Psychology Department, will serve on this committee.

**Duties:** The duties of the Animal Care Technician are described in Appendix B of this document. These duties may be modified at any time by the IACUC Chair without prior IACUC approval, as part of the Chair's supervisory duties. However, any significant changes in duties will be reported to the IACUC, and an amended list of duties will be attached to this document.

**Emergency Coverage:** It is necessary for all animals in the colony to be monitored on a daily basis. Normally, this duty falls to the Animal Care Technician. On occasion, the Animal Technician may be unable to perform this duty because of an emergency. In such a situation, the Technician must inform the IACUC Chair and/or the colony supervisor. The responsibility for monitoring the animals will be passed to one of the following individuals (in order of priority):

- 1) A student animal colony worker who has been trained to monitor animals,
- 2) A student teaching assistant for the Psychology 211 or 311 classes (assuming that the student has previously been trained to monitor animals),
- 3) The faculty member responsible for supervision of the animal colony (typically the IACUC Chair),
- 4) The IACUC Chair (if different from the colony supervisor),
- 5) Any member of the IACUC with experience in animal research.

### 3. Training of Personnel

Federal regulations require that all personnel involved in the use of animals are properly trained in such use. Training will be available in the following areas, although personnel are only required to be trained in those areas directly related to their work:

- The basic needs of each species
- The proper handling and care of each species
- The proper pre-procedural and post-procedural care of the animals
- The proper aseptic surgical techniques (if required by protocol)
- The concept, availability, and use of research or testing methods that limit the use of animals or minimize animal distress
- The proper use of anesthetics, analgesics, and tranquilizers (if required by protocol)
- Methods whereby deficiencies in animal care and treatment are reported, including assurance that any individual reporting such a deficiency will not be discriminated against or subject to reprisal or any kind. Such deficiencies may be reported to any IACUC member, the Animal Care Technician, or the Associate Provost. Informational signs outlining this procedure will be posted in all areas in which animals are used.
- Utilization of information services to provide information on any or all of the training areas described above.

Illinois Wesleyan University will ensure that proper training is received in the following ways:

#### a. Animal Care Technician

The Animal Care Technician will have at least an Associates degree in animal science or related field. When hiring, preference will be given to a licensed veterinary technician with experience working with the species housed on campus. The following procedures are meant to ensure that the animal care technician is adequately trained, and that training is maintained over the term of employment:

1. The Animal Care Technician will attend, at University expense, one annual professional conference (for example, the annual American Association for Laboratory Animal Science (AALAS) conference) for purposes of continuing education.
2. The Animal Care Technician is expected to consult with the consulting veterinarians concerning any issue for which the Technician feels improperly prepared. The Veterinary consultant will either provide the necessary training, or provide information by which the Technician can receive proper training.
3. The IACUC Chair and the Psychology Department Chair will conduct an annual performance review of the Animal Care Technician. Any deficiencies in training will be noted in the review, and methods of remedying those deficiencies will be suggested. The IACUC Chair will monitor the performance of the Technician to ensure that these deficiencies are corrected in a timely fashion.

**b. Faculty**

Faculty submitting protocols to the IACUC for review must demonstrate, as part of the protocol, that they are sufficiently trained to use the procedures described in the protocol. If the faculty member is not presently trained in a procedure, the protocol must include a statement of how training will be received. The faculty member is also responsible for training any students involved in the project, and must describe such training in the protocol. Failure to address this issue is grounds for a decision of non-acceptance.

If it comes to the attention of the IACUC that an instructor, investigator or student working with animals is not properly trained to do so, the IACUC Chair will contact the principal investigator and request that proper training be obtained. The IACUC chair will report such training deficiencies to the full committee. If, in the opinion of the full IACUC committee, the training deficiencies comprise a violation of an approved animal use protocol, the IACUC will suspend work under that protocol until proper training has been demonstrated. If an apparent lack of training constitutes an immediate health risk to the animals, the consulting veterinarian may immediately suspend work on the protocol pending a full IACUC investigation.

**c. Student Workers**

Students employed in the animal colony will be trained by the Animal Care Technician in the proper care and handling of the species in question. Students working with animals under the supervision of a faculty member will be trained by that faculty member, and it is the responsibility of that faculty member to ensure adequate training has been received. Research protocols submitted to IACUC for student projects (or projects in which students will be involved in procedures) must describe how the students are to be trained in these procedures. Failure to address this issue is grounds for a decision of non-acceptance. Students conducting surgery or other invasive procedures must be supervised at all times. Such supervision must be provided by the principal investigator or classroom instructor. During such procedures, the supervisor must be physically present in the room in which the surgery is being conducted.

**d. OLAR Staff Veterinarians**

OLAR staff veterinarians will conduct twice yearly seminars for scientists, technicians, staff, students, and other personnel involved in animal care. Topics will be chosen in consultation with the Associate Provost and the IACUC Chair. Topics covered may include animal welfare issues, regulations, animal husbandry, anesthesia, euthanasia, sanitation and others.

**4. Program of Veterinary Care**

Federal law requires that the institution have an established program of veterinary care. A Program of Veterinary Care has been established between Illinois Wesleyan University and the Office of Laboratory Animal Resources (OLAR), University of Illinois at Urbana-Champaign. The attending veterinarian reports to

8251 the Associate Provost. OLAR staff veterinarians conduct monthly clinical rounds  
8252 through the IWU animal facility. They are available for consultation with IWU  
8253 faculty and staff during site visits or by telephone during normal business hours.  
8254 OLAR veterinarians are available to conduct twice yearly seminars, as requested  
8255 by the IACUC chair, for IWU faculty, staff and students whose activities involve  
8256 the use of live vertebrate animals. Topics covered may include animal welfare  
8257 issues, regulations, animal husbandry, anesthesia, euthanasia, sanitation and  
8258 others. Sick, diseased or lame animals will be provided prompt veterinary care or  
8259 will be humanely euthanized.

8260 In addition to the above duties, the OLAR staff will consult with the IACUC chair  
8261 and the Associate Provost to ensure that the university is in compliance with  
8262 applicable federal regulations. The OLAR staff will inform the IACUC of any  
8263 observed non-compliance with regulations, as well any changes in applicable  
8264 regulations. In cases where non-compliance is observed, the OLAR staff will  
8265 work directly with the IACUC to ensure that the university is brought back into  
8266 compliance. This responsibility may include providing specific, detailed  
8267 instructions on how to restore compliance, as well as providing access to  
8268 documents and information which will enable the university to restore  
8269 compliance.

8270 Additional details may be found on the USDA form Program for Veterinary Care  
8271 for Research Facilities or Exhibitors/Dealers, a copy of which is on file in the  
8272 office of the Associate Provost.

## 8273 **5. Occupational Health**

8274 Federal regulations require that the University maintain a program of occupational  
8275 health. This program must include an assessment of the risks to personnel related  
8276 to their work with animals. Further, it is recognized that the level of risk may  
8277 change periodically, so it is necessary to constantly re-assess occupational risk.

8278 Three times a year, the IACUC will review the risks resulting from contact with  
8279 animals for all University personnel and students. This review will be included in  
8280 the regular reports to the Associate Provost described in section 1 of this  
8281 document. When necessary, the IACUC will consult with the University OSHA  
8282 official, the Associate Vice President for Human Resources, and representatives  
8283 of the Department of Occupational Health (or related department) at Illinois State  
8284 University and the University of Illinois. At present, only rats and hamsters are  
8285 housed at Illinois Wesleyan University. There are no exotic species housed on  
8286 campus, nor is there any expectation that exotic species will be added in the near  
8287 future. As a result, it is the opinion of the IACUC that work with animals presents  
8288 relatively little health risk to personnel.

### 8289 **a. Levels of Risk**

8290 At present, three levels of risk are recognized:

- 8291 ● Low to Moderate Risk: The Animal Care Technician is currently the only

University employee working full-time in the care and use of animals. The Technician must receive an annual physical examination which specifically screens for animal-related illnesses and conditions. The technician will receive this examination at University expense. The Technician must have a recent tetanus vaccination.

- Low Risk: This category includes all persons employed by the University to work in the animal colony on a part-time basis, as well as faculty and students using invasive procedures, procedures resulting in pain to the animal, or procedures requiring prolonged restraint for the animal. These individuals must have a recent tetanus vaccination. It is the responsibility of the Animal Care Technician to ensure that all employees have received the proper vaccinations within a reasonable time period following the start of employment.
- Very Low Risk: Students and faculty using non-invasive techniques which do not include pain or prolonged restraint techniques fall into this category. These persons are not required to have any special vaccinations or health screening over and above those normally required by the University. If these individuals are bitten by an animal, they will be advised to report to Arnold Health Services. If the individual does not have a recent tetanus vaccination, they will receive one.

**b. Allergies**

Students working with animals may occasionally develop allergies to the animals with which they are working. In some cases, this may interfere with the student's ability to complete required coursework. Under such circumstances, it is recommended that faculty follow the guidelines below:

- The student must provide a written letter from a physician confirming that the student suffers from allergies, and that the allergies represent a health problem for that student.
- Under the direction of the physician, the student will be asked to complete the normal course requirements while using special protective devices (gloves, masks, protective clothing) or allergy medication.
- If, in the opinion of the physician, medication and protective devices are inadequate, the instructor should provide an equivalent assignment of similar difficulty.

The above guidelines are recommendations. The IACUC is not authorized to require faculty to adhere to these guidelines. Adopted July 1st, 1997; last amended May 7th, 1999. Updated, Summer 2010.

## **APPENDIX F: SELECTION OF CANDIDATES FOR ENDOWED CHAIRS AND PROFESSORSHIPS**

### **A. Nominating Process**

Appointments to endowed professorships and chairs (whether to fill a vacancy or for a new position) begin with the announcement to the campus by the President at the start of the spring semester of the academic year that there is an open endowed position that the university would like to fill if a suitable candidate can be found. A description of any donor stipulations/limitations (specifying area of study, department, etc.) will be included in the President's announcement. In the case of a narrowly defined chair for which there might be only one faculty member who meets the stipulations, the President may decide to convene the committee without a general announcement to the campus (to avoid embarrassment to that individual if the recommendation is negative).

Typically, only current IWU full-time faculty who have achieved the rank of full professor are eligible to apply for an endowed chair/professorship. There are special circumstances when new full-time faculty hired at the rank of full professor or full-time IWU associate professors might also be eligible to apply, and should such a circumstance arise the university will make that opportunity clear (see sections 3 and 4, below). Members of the faculty—especially Deans, School Directors, Department Chairs, and Interdisciplinary Program Directors—are encouraged to forward names of colleagues who they wish to have considered for this recognition. In addition to names forwarded by colleagues, self-nomination is also encouraged. After the deadline for submitting names has passed, the Provost will notify candidates who have received nominations. They will have a period of 45 days from the date of notification to assemble materials in support of their case for the endowed position.

### **B. Criteria for Selection**

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

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

- in the case of teaching: classroom visits, examples of innovative instruction and contributions to pedagogy, course evaluations, mentorship or engagement of students outside of the classroom or in one's professional life and evidence of outcomes from work with students; and
- in the case of scholarship or artistic contributions: publications in one's field or



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

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

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

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

The candidate will submit the following materials:

- A current CV
- A personal statement limited to 3,750 words that clearly addresses the candidate's qualifications according to the above selection criteria. The strongest cases are supported by evidence rather than by broad statements or unsubstantiated generalizations.
- A list of two names with contact information for scholars/artists in the field who would be able to provide an external assessment of the candidate's work. The Committee on the Selection of Endowed Chairs and Professorships will solicit two external letters from this list of names. In assembling this list, the candidate should bear in mind that the strongest case for selection will be supported by external evaluators with an appropriate professional distance from the candidate.
- Two internal letters of support from colleagues not to exceed 1,500 words each, addressing the candidate's qualifications with particular attention to teaching. The strongest letters bring forward evidence rather than broad statements or unsubstantiated generalizations.
- Letters of support from two alumni who are well positioned to bring insights to the committee's consideration.

No additional materials will be considered.

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

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

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

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

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

- there is no full professor eligible for appointment (for example when a professorship is restricted to a specific department without a full professor)
- or
- the Committee on the Selection of Endowed Chairs and Professorships is unable to identify a meritorious full professor from among those who meet the restrictions,

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

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

Other process/procedural considerations for associate professor candidacy

parallel those for full professors.

#### **E. Recommendation to the Administration**

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

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

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

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

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

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

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

- A current CV
- A personal statement limited to 2,500 words that clearly addresses the endowed professor's/ chair's continued excellence in teaching, scholarship and/or artistic

8510 achievement, and service (please carefully address all bulleted selection criteria  
8511 above). This statement should be reflective of the accomplishments  
8512 communicated in annual reports submitted to the Provost and also summarize  
8513 professional goals for the next five years. It should not include financial  
8514 information. The strongest cases are supported by evidence rather than by broad  
8515 statements or unsubstantiated generalizations.

8516  
8517 Appointment to an endowed position is separate from appointment to the faculty. It  
8518 should be clearly understood that the decision to award tenure to the current or  
8519 prospective holder of an endowed position affects only the regular faculty  
8520 appointment; it does not imply a commitment for continuance in the endowed  
8521 position.

8522  
8523 Individuals who hold endowed chairs and professorships at the time of their  
8524 retirement will continue to hold the title or the chair or professorship in conjunction  
8525 with their emeritus designation.

8526  
8527 These guidelines will be reviewed from time to time after implementation to assess  
8528 the need for revision.

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## **APPENDIX G: SELECTION, REVIEW, AND TERMS OF ACADEMIC ADMINISTRATORS**

### **A. Review of the Provost**

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

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

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

### **C. Review of the Dean of Curricular and Faculty Development**

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

**D. Review, Selection and Terms of Department Chairs/School and Program Directors**

The selection of a new department chair, or school or program director, will begin with an internal review of the potential candidates by the department, school or program members. If there is more than one candidate, the chair or director will normally be chosen by departmental, school or program election. The election shall be conducted by the Provost's Office and be by secret ballot. All tenured, tenure-track and teaching track faculty members of the department are eligible to vote in the election. Regardless of how the chair or director is selected, a majority of the tenured and tenure-track faculty of the unit needs to approve the appointment.

Except in extraordinary circumstances, which should be stated to the members of the department or school in detail, the wishes of the faculty will be respected by the Provost.

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

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

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

Review of a chair or director is to be conducted from the top-down by the Provost, and from the bottom-up by the full-time faculty in the department, school or program. The review will assess an individual's capacity for *leadership, communication, fairness, and professional responsibility* in the following areas (with emphasis and content varying depending on the specifics of the department, school or program): chairing meetings; meeting deadlines; reviewing and developing curriculum (for the majors, minors, academic certificates, if any, and the Shared Curriculum); assessing student learning in their specific majors; coordinating self-studies and external reviews when scheduled; scheduling courses and assigning faculty to teach them; conducting searches (tenure-track, teaching-track, visiting, and adjunct); promoting and modeling faculty professional development; conducting personnel evaluations; involving unit faculty in decision-making; fostering a culture of excellence; promoting good relations among unit faculty; recruiting students; working with majors, minors and student groups; representing the unit to outside bodies; and

8619 working with the administration.

8620

8621 The bottom-up review of a chair or director will be undertaken before the second  
8622 semester of the third year of each term the individual serves. The review will consist  
8623 of a brief, anonymous questionnaire that has been approved by the Provost. The  
8624 forms will be returned to the Provost's office, and the Provost will provide a  
8625 summary of the contents to the supervisor. The supervisor will discuss any insights  
8626 learned from the reviews with the members of the department, school, or program.  
8627 The Provost will discuss the results with the chair or director as part of the top-down  
8628 review and will provide the faculty in the department with the principles, procedures,  
8629 and criteria of the review, including a statement of whether a reappointment has  
8630 occurred.

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## APPENDIX H: KEMP FOUNDATION AWARD FOR TEACHING EXCELLENCE

The recipient of the Foundation Award for Teaching Excellence is selected by IWU's Promotion and Tenure Committee based on nominations received from members of the faculty. The award recognizes teaching, scholarship, and service. It is the University's top teaching honor.

### *Procedures for Nomination*

- The Provost's Office will distribute a Call for Nominations to all full-time faculty members during the Spring semester. Accompanying the Call will be a list of all senior faculty members who have not won the Award previously. Past winners and current members of PAT are not eligible for the award.
- Faculty may nominate only a single individual from among the list of eligible faculty members.
- Nominators must submit a letter of nomination to the Chair of PAT explaining why the nominated individual deserves to receive the Award. The letter should provide, to the best of the nominator's ability, evidence of the nominee's qualification for the Award.

### *Letters of Nomination*

One of two kinds of letters may be submitted to the Promotion and Tenure Committee along with the name of the nominee.

- Particularly valuable to the Committee will be letters that document in comprehensive fashion, the nominee's strengths as a teacher and her or his continuing efforts to deliver education of the highest caliber to students at all levels. Such letters may be composed by current or former chairs and school directors or by anyone acquainted with the nominee's pedagogy, accomplishments in the classroom, and effects on student learning.
- Letters documenting the nominee's achievements in one or more dimensions of teaching excellence, as such achievements are known to the nominator, are also valuable to the Committee as supporting testimony.

Information of high value to the Committee may include some combination of the following:

- Evidence of the nominee's ability to inspire students' curiosity, love of learning, idealism, creative aspirations, ethical awareness, and/or sense of professionalism.
- Evidence of creative and effective course design, course revision, and new course development.
- Observations of classroom teaching, clinical instruction, or instruction in the performing arts.
- Reports of student and alumni assessment of teaching performance.
- Indications of the nominee's special, perhaps indispensable contributions to her or his department, school or academic program.
- Evidence of the nominee's continuing development as a scholar, performing artist or practitioner, especially in regard to the sharing of knowledge, research methods or



8676 clinical expertise with advanced students, for example, through collaborative  
8677 research, fieldwork experience, and encouraging student participation in the John  
8678 Wesley Powell Conference and other academic and professional venues.  
8679 ● Reports of the nominee's contributions to the intellectual life of the campus through  
8680 public speaking, bringing guest speakers to campus, participating in colloquia, panels  
8681 and reading groups, and advising student groups devoted to public dialogue and  
8682 debate.

8683 *Selection Process*

- 8684 ● Before beginning its discussion, PAT will review the procedures and desiderata  
8685 above.  
8686 ● For all nominees, the current *curriculum vitae* on file in the Provost's Office will be  
8687 distributed to the members of PAT along with copies of the letters of nomination.  
8688 ● The Committee will discuss the merits of each nomination and then vote to determine  
8689 the individual to be designated as the next teaching award winner.